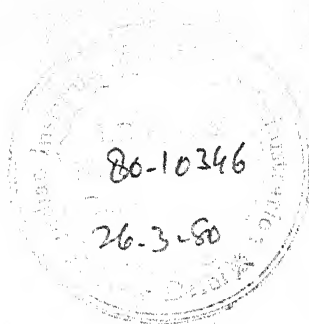


ASSESSMENT OF EVALUATION SYSTEMS FOR RURAL DEVELOPMENT IN INDIA
(paper prepared for APDAC, Kuala Lumpur, Malaysia)

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Paper presented at the Expert Group Meeting on Development of Methodologies
for Monitoring and Evaluating Import of Rural Development organised by
Asian and Pacific Development Administration Centre, Kuala Lumpur
Malaysia, from 7 November to 13 November, 1979

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An Assessment of the Evaluation Systems in India

Introduction

The paper is an effort to analyse the functioning and the adequacy of the evaluation systems of rural development programmes in India. The paper is divided into five sections. Part-I describes the rural situation in India and the policy and programmes for rural development over the years. This provides the background of the rural conditions and the programmes to alleviate these conditions. In Part-II the evolution of the evaluation organization, the present structure and functions are given. Part-III deals with the monitoring process in India. The methodology used in evaluation of rural development programme is discussed in Part-IV. Part-V is an attempt to analyse the performance of the evaluation systems in India.

PART. I

The Rural Scene

Introduction

The number of villages has varied from 570,000 to about 630,000, depending on the definition given. While at one time, the village is defined as a revenue unit, some demographic phenomena are also being mentioned at other times. In the case of revenue village, the number of hamlets around the village were included in one village. In the process of provision of services, this definition has not been quite adequate. One state defines a village as "inhabitation with 100 people".

Rural Population

According to the 1971 census the country had a population of 547 million - urban 109 million and rural 438 million. About 80 percent of the population live in rural areas. The estimated population for 1977-78 is 630 million. The proportion of urban to rural areas remains about the same (80%). This means that there are about 500 million people in the rural areas. The growth rate of the rural population between 1961-71 was approximately 2.2 percent per year.

The density of the population in India per sq. km. is 178. The sex ratio i.e. the number of females per thousand males is 930. There has been a steady decline of number of females to males over the last four decades.

The expectancy of life has gone up from 23 in 1901-1911 to about 52 in 1971-75. Infant mortality is about 11% in rural areas and about 8% in urban areas. Among the registered births, the rate of mortality was 140 in the rural areas.

The Rural Social Structure

The rural society in India is based on a rigid hierarchical system. The caste system is the basis of the social relations in the rural areas. It is an institution of great strength and it is pervasive. In spite of hierarchical system, the social scientists who have studied the villages, have generally made a point about the unity of the villages. This is partly due to the patron-client relationship that exists between the groups of people in the villages.

It is generally felt that the status of women is low in the rural areas. The development process at times has been dysfunctional to women. Increased use of technology has generally meant that men have been trained to work with the machines. It may be of interest to note that while the

percentage of women recorded as workers was 33% in 1911, it was 11% in 1971. It is estimated that there will be a further reduction of 20 percent among the women workers by 1983-84.

The number of children is around five to six per family. Children are looked at as God's gift. The large number of children is partly due to the high infant mortality rate and partly the need of children to either look after the younger ones or supplement the family income to undertake some employment or the other. About 40% population is below the age of 15 years.

Education

The total percentage of literacy is around 33 percent. In the rural areas, however, the overall literacy rate is 27 percent. There is wide difference between literacy rate among the males (39%) and females (15%).

Literacy in age group above 15 years increased from 22 percent in 1961 to 27 percent in 1971 (41% for males and 13% females). About 5 percent further increase is estimated for 1977-78. In the 6 to 11 years age group, the enrolment is considered satisfactory particularly among boys. In the 11 to 14 age group, while only 50% boys were enrolled, only 25 percent of the girls were in school giving an overall percentage of 38.

Non-formal education has been considered an important input in the development programmes particularly in agriculture. Various organizations at the village level have been used as centres for non-formal education. Demonstration, training camps, farmers' discussions and women's discussions groups have been organized under this programme.

Rural Poverty

The Indian economy is still predominantly agriculture, from which half the national income is derived. About 70 percent of the total population are dependent on agriculture. There have been constant efforts to diversify the economy by increasing the pace of industrial development and also agricultural productivity. The national per capita income was estimated to be around Rs.850 (US 110) for 1974, whereas in 1960-61 it was Rs.340. The index of current prices is 371 (1975-76) as compared to 149 in 1960-61. The national policy is to bring the population above the "poverty line". Those whose consumption per capita was less than Rs.20 (US \$2.5) per month at the 1960-61 prices, were defined as below the poverty line which in 1975-76, is calculated at Rs.40/-. This amount can only provide for a bare minimum living. About half the population or more in rural areas live below the poverty line. What is of concern is that there has been a considerable increase in the percentage of the rural population below the minimum subsistence level in all the states of India.

Agricultural labourers in large parts of India get a daily wage of Rs. two to three. Where only one crop is raised due to lack of irrigation facilities, they get about 4 months' employment in a year. This gives a monthly income of Rs.20 to Rs.30 - the average household is five. About two thirds of the cultivated area is not irrigated.

Agrarian Structure

Rural poverty is caused by many factors. It is both a cause and effect. Poverty leads to illiteracy and illiteracy causes poverty. The patterns of land distribution also provide some insights as to the causes of poverty. There has been a decrease in the per capita availability of land. While it was 0.9 hectares in 1950-51, it came down 0.75 in 1960-61

and 0.60 in 1970-71. The estimation for 1975-76 is 0.54. The per capita availability of arable land in 1970-71 was estimated at 0.25 hectares. Apart from this, the distribution of land is also very skewed. According to the 1975 agricultural census report 35.7 million operational holdings were in the size group of less than 1 hectare, another 30.4 million in the size group of 1 to 2 hectares. Although the holdings of less than 2 hectares constituted 70 percent of the holdings, it accounted for only 21% of the total area under operation. The average size of operational holdings for household declined from 2.2 hectares in 1954-55 to 1.60 in 1971-72.

Table I gives the total number of area of operational holdings according to size.

The small farm is, therefore, the basic attribute of Indian agriculture. Many of these farms are not even subsistence farms and the farmers have to supplement their income through wage employment. Of the 67.4 male workers engaged in directly working on land only 46.35 percent are cultivators having rights of ownership or possession over land. The rest 21% are landless agricultural labourers with no rights whatsoever in land. The percentage of cultivators to total agricultural workers declined from about 75 percent in 1961 to 60% in 1971. The total of agricultural labourers increased from 22% in 1961 to 37% in 1971. The conditions of the agricultural labourers are quite depressing.

The pattern of distribution of land where more than 60 percent of the area cultivated is owned by 15 percent of the households makes for a disproportionate distribution of income. Moreover, those who have more land have greater capacity for investing in inputs, such as high yielding varieties, fertilizers, mechanisation etc, which increases productivity of land which further widens the gap between the haves and have nots.

Size	Class (ha)	No. (000)	Percentage	Area (000 ha)	Percentage
Below	0-5	23,178	32.9	5,446	3.3
0.5	- 1.0	12,504	17.7	9,099	5.6
1.0	- 2.0	13,432	19.1	19,282	11.9
2.0	- 3.0	6,722	9.5	16,353	10.0
3.0	- 4.0	3,959	5.6	13,646	8.4
4.0	- 5.0	2,684	3.8	11,929	7.4
5.0	- 10.0	5,248	7.4	36,305	22.4
10.0	- 20.0	2,135	3.0	28,521	17.6
20.0	- 30.0	401	0.6	9,344	5.8
30.0	- 40.0	120	0.2	4,178	2.6
40.0	- 50.0	45	0.1	2,050	1.3
50.0	& above	65	0.1	5,971	3.7
TOTAL		70,493	100.0	162,124	100.0

The adoption of improved technology by the big land lords also reduces employment potential of the rural labour force.

Rural Employment

According to 1971 census the total rural population was 438 million, the number of workers was 144 million (34%) and non-workers 294 million (66%). The census categorized a person as a worker or a non-worker according to the main activities. Among the workers 52% were cultivators, 31% agricultural labourers, 2.5% were working in the sectors of live-stock, fishing, forestry, plantation, etc. Fifteen percent were engaged in activities like mining, manufacturing and processing, household industries, construction work,

transport, trade and commerce and other services. Throughout the last half century the proportionate work force dependent on agriculture has remained unchanged. While in 1921, agricultural force numbered 88 million, it had by 1971 almost doubled to 167 million. The proportion of people engaged in agriculture has been around 70 percent both in 1921 and 1971. Agriculture thus, has maintained its prime status in employment market. The situation is a matter of concern as prospects for increase in the arable areas do not exist. About 46% of the total area is undercultivation. Even at present substantial areas cultivated are marginal.

It has already been mentioned that the number of cultivators is declining and that of the agricultural labourers is increasing. The incidence of employment and under-employment is quite high. The Planning Commission estimates that in March, 1978 unemployment was: "20.6 million person years: 16.5 million in the rural areas and 4.1 million in urban areas". The largest impact of unemployment is felt by the agricultural labour which constituted the bulk of the labour force.

Moreover, there seems to be a decline in the last decade in number of days of wage-paid labour. More than half of the work force in agriculture is engaged as casual labourer or is looking for work. Even those who are self-employed in their own farms have to seek outside work as the income from their farms is inadequate. The latest data available on unemployment in the rural sector is from a study conducted by the National Sample Survey in 1972-73. According to them, there are about 5000 million unemployed mandays in a year in the rural areas. It is also categorized 4 million persons as chronically unemployed.

Rural Organizations

The rural society in India has been rather weak in formal organizations. This may be due to the fact that the social structure and the informal organizations have been quite effective and functional. In recent times, however, with the coming of democracy and rural development programmes, particularly Community Development, efforts have been made to set up formal rural organizations. The most important of this is the village "Panchayat". This is an institution for local government at the village level. This consists of elected members to the village panchayat. This organization has linkage at the block as well as the district level. (More of this will be described later). Each caste may also have its own panchayat. While the Village Panchayat takes decision with regard to development projects, the caste panchayat is concerned with behavioural problems of the members of the caste.

There has been efforts to set up organizations for women for development activities. The youth groups for recreation and other activities have also emerged. However, they have not yet taken root.

India was one of the earliest countries to set up Co-operative Societies - under an Act passed in 1904. There are multi-purpose Co-operatives as well as single purpose dealing with - marketing, consumer goods, seed, credit, etc. The number of cooperatives is estimated at 200,000. About one-third of the cultivating families are members of the co-operative movement. About Rs.15 million were disbursed as credit in 1976-77 for agricultural purposes by the Co-operatives. It is the better off farmers who take advantage of the co-operative movement.

Rural Amenities

The amenities in the rural areas have always been poor. It is in this context that the minimum needs programme was evolved during the Fifth Plan. There are 0.5 hospital beds available per 1000 population, which is about half the desired norm. For every 4000 people there is one Doctor and for a population of 6300 one nurse is available. While these figures indicate the total situation, the conditions in the rural areas is much worse. The per capita expenditure on medical services and public health during years 1972-75 is estimated at Rs.9.5 (US \$1.10). At the end of 1976 there were 5375 primary health centres, each of which covered a population of about one lakh. It is estimated that drinking water is not available in about 153,000 villages which have been described as problem villages i.e. villages which have no drinking water available at less than 1.6 km. or at a level above 15 meters.

Although the programme of providing water to the villages has been in existence for about 25 years yet more than 100,000 remain to be covered. This is partly matter of material and financial resources.

At the beginning of 1979 a little more than one-third of the villages (38%) were electrified. It is estimated that about 60% of the rural population has access to electricity. All the villages in the country are expected to be electrified by 1995. There are also problems of housing, transport in most of the villages. The Five Year Plans do include programmes for building roads which would make most of the villages accessible. A rural housing scheme is also in operation.

PART I

B

Rural Development Programmes in India

Some concern for rural development was shown during the British regime only during the early part of the 20th century. This was a result of about 30 famines that occurred in different parts of India in the last 25 years of the 19th century.

As already mentioned a co-operative Society Act was passed to start Co-operative Movement in 1904. In 1914 Agricultural Development Departments were set up in some states. In late 1920s Royal Commission on Agriculture was appointed. However, the recommendations of the Commission could not be considered due to political conditions in India and the Second World War.

During the British rule, there was no concerted effort on the part of the government at improving the living condition of the rural people. However there were attempts by individuals (Tagore and Mahatma Gandhi Brayne) and Institutions (YMCA) at an integrated approach to rural development. These were micro programmes in different part of the country. Even after Independence, the various ministries/departments like education, health, agriculture, were carrying out the activities in rural areas through their own functionaries at the state, district and village level. There was no coordination between the activities of the various ministries. They tended to operate in isolation and at times at cross purposes. The activities were limited and the functionaries at the village level tended to be single purpose workers. The launching of the community development programme was an effort to bring about a change in terms of the emphasis on rural development with co-ordinated effort.

Community Development Programmes

It was in October 2, 1952 that the Community Development Programmes was inaugurated. This could be considered to be the first attempt at systematic integrated rural development having a wide coverage. To start with, only 55 community development projects were started. However, the idea spread and within the period of 3 years the whole country was covered by this programme. An administrative unit for implementing the programme "Block" was established. A block consisted of about 70,000 people living in about 100 villages. Each block had one Block Development Officer who was entrusted with the task of co-ordinating all the rural development programmes at the block level and the block level functionaries. There were 8 Extension Officers, each dealing with the different subjects (agriculture, animal husbandry, co-operative, social education, industry, etc.). To reach the village people, Village Level Workers were appointed. He was the link between the people and the government. He covered a population of six to ten thousand. His major task was extension education, with emphasis on agricultural productivity. The launching of the Community Development Programme was history making as no programme of such magnitude has been undertaken anywhere else in the world. In fact, many other countries have emulated this programme.

At the district level, the district Collector remained the co-ordinator and coordinated the activities of the various district officials. At the state level, the Development Commissioner was responsible for co-ordinating the activities of all the concerned departments. At the national level, the Department of Rural Development (earlier known as the Department of Community Development) in the Ministry of Agriculture is responsible for formulation of policy and co-ordination with ministries.

The major thrust in the community development programmes was improving economic condition through higher production. Substantial part of the time of the village level worker was spent in educating the farmers with regard to the methods of increasing agricultural production. While increasing agricultural production was considered basic, other socio-economic needs were also taken into consideration. The fact that there were eight Extension Officers dealing with the different subjects like industry, co-operative, social education, etc. is indicative of the total approach to rural development but the programme, however, has had a checkered history.

It was felt that the programme tended to benefit who were already better-off and did not help those whose conditions were very bad. Often it was said that the programme tended to make the richer rich and the poorer poor. One criticism was that there were a large number of groups which were not touched by this programme. Consequently, some specific programmes for integrated tribal development, small farmers' development agency, etc were initiated to meet the special needs of specific groups. Some of these programmes will be described a little later.

Panchayatraj Institutions

Another criticism of the programme was that the programme did not evoke sufficient response from the rural people and their participation was rather limited.

A Committee was appointed in 1958 to consider the ways and means of increasing people's participation in the programme. The recommendations of the Committee were to set up local institutions at the village, the block and the district level who could forge relationship with their officials at these different levels and thereby bringing about a greater relationship between the people and the programme. These institutions were called

Panchayati Raj institutions. As mentioned already, it was three-tier structure namely, at the village level, the block level and the district level. There were different patterns of Panchayati Raj institutions in different states. In some states the district is the major unit whereas in other states the block is the pivotal unit for the implementation of the rural development programmes. A number of evaluation studies have been made with regard to the functioning of these institutions. Recently, a Committee (Chairman - Asoka Mehta) was appointed to look into the ways and means of increasing people's participation in the development processes. The recommendations of this Committee are being examined by the various state governments. A different organisation has been suggested by the Committee. The effort is still to generate response from the community towards the government programmes also that it would be a combined effort between the people and the government in bringing about an all round development of the rural society. The Community Development Programme was also criticised at times as not paying sufficient attention to agricultural production; although this was not the primary aim. An "Intensive Agriculture Development Programme" was initiated. The approach was to provide in a package seeds, fertilizers, pesticides, credit to those districts (about 80-100) which produced most of India's food. The number of V.L.Ws was doubled in these areas. The idea was to maximise the output in these areas which were the mainstay of agricultural production. Later, the "Intensive Agricultural Area Development Programme" was started. This was on similar lines but not quite as intensive as it covered a larger number of districts.

The Sixth Plan

Bringing about a social transformation in a society which is steeped deep in tradition, having a low rate of literacy and rigid social structure, is not easy. Nevertheless, substantial programmes have been launched to bring about a change in the way of life of the people and to better their living conditions. The programme described in the paper do not take into consideration all the efforts to improve the levels of living and of socio-economic conditions of the people i.e. educational programmes (free and compulsory education) family planning programmes, prohibition all of which have some bearing on the life of rural society. Programmes relating to agricultural development such as irrigation power are also not considered, as they were not within the purview of the Department of Rural Development. Only those programmes initiated by the Department of Rural Development are discussed.

The Sixth Plan says "the aim of agricultural and rural development will be economic growth with social justice, achievement of full employment in the rural areas in a period of 10 years and removal of poverty the thrust of the development policy will be the generation of substantial employment at productivity levels special attention will be paid to backward areas as well as scheduled castes and scheduled tribes".

The current term used for rural development is "integrated rural development". The major idea in this is that there has been a tendency for sectoral approach in rural development which has not led to an overall development and particularly, the weaker sections of the society. "It will, therefore, be necessary to plan for integration of various programmes and establish appropriate linkages for optimal utilization of local endowments consistent with the plan objectives, local need and environmental balance."

An effort will be made to integrate the following development programmes:

- Agricultural Development, Programmes of Animal Husbandry, Fishery, social and farmforestry, cottage industry, programmes of skill formation etc.

The programmes of IRD have been taken up in 2000 blocks out of 3000 blocks covered under the special programmes of SFDA, DPAP, and 300 selected from non-special programme areas. To achieve the objectives of the programme, an area development approach in planning and implementing areas special scheme will be adopted.

For the implementation of the programme an amount of Rs.0.2 million per block has been made. While there is emphasis on "Integrated approach" yet as the objective says that there is a need to look at target groups as well as backward areas and consequently, there are a number of programmes to meet the need of specific groups or areas. Some details of this programme are given.

Small Farmers Development Agency and MFAL (Marginal Farmers and Agricultural Labours)

The SFDA programmes were initiated during the Fourth Plan. The purpose was to make the small and marginal farmers economically viable and for improving the lot of the landless agricultural labourers by raising the output of small holding and generating employment through subsidiary occupations. A little more 1000 blocks have been covered under this programme. Till about the end of 1978, about 1.5 million small and marginal farmers were identified and about 900,000 agricultural labourers were brought under

* Described later.

co-operative movement. During the year about Rs.350 million was given out of as credit. Apart from this, there were credits from the commercial banks as well as co-operative societies.

Minor irrigation work, dairying, poultry farms and other animal husbandry programmes were taken as a result of the credit available to this target groups. The agency functions as co-ordinator between identified participants, credit institutions, development departments and extension organizations at the field level.

Drought Prone Areas Programme

This programme aims at conservation, development and utilization at the optimal level, of land, water, live-stock and human resources in the selected districts. The aim, is in the direction of restoration of proper ecological balance in these areas. The main components of the programme are:

1. Development and Management of Irrigation Resources.
2. Soil and water conservation and afforestation
3. Restructuring of the cropping pattern and pasture development.

The programme is in operation in 74 districts of 13 states which were identified as drought prone areas. The programme covers 600 blocks and about 12% of the total population. The allocation per district is dependent upon the area prone to drought, if it is more than 75 percent, Rs.60 million is the outlay. Where only a few parts of the districts are affected, the outlay can be as low as 6 million.

The special programme are administered by separate agencies under the ministry of Agriculture. There is need for greater coordination between the agencies.

There are other programmes specially designed for tribal areas, hill areas, desert areas and command (irrigation) areas.

Antyodaya Programme

One of the concerns as mentioned earlier of the government has been that the benefits of development has not percolated to the poorest of the Community. Almost half the population lives below the poverty line. The Antyodaya Programme is to ensure minimum living standard to the lowest in the community. It is an effort to combine development with social justice. This programme is an aspect of rural development; however, the focus is on the disprivileged groups (i.e. agricultural labourers, small and marginal farmers, etc.). The scheme is to select five poorest families in each village according to certain criteria, and help them to take up gainful employment through schemes of dairying, sheep-breeding, piggery, fruit processing, cottage industry, etc.

Panchayati Raj

Reference has already been made to the Panchayati Raj Institutions. There are at present about 223642 Gram Panchayats. The number of Panchayat Samitis which operate at the block level is 4360 and Zilla Parishad (district level) 262. The Panchayati Raj Institutions with delegation of authority to carry out development programmes at the different levels was envisaged when they were set up. However, not all the states have established these institutions. Performance has been varied in different states. Where there has been substantial delegation of authority, the performance of the Panchayati Raj Institutions seems to be better.

Land Reforms

Programme of land reforms does not come directly under the Department of Rural Development. The disparity in the distribution of land has been referred to, and hence a brief mention is made here regarding the effort at land reforms. More equitable distribution of land resources through programme of land reforms has consistently been a major policy objective since independence. However, the plan document admits that the status of the land reforms is not quite satisfactory. There has been a legislation with regard to ceiling on holdings but this needs more rigorous implementation. Priority has been given in distribution of surplus land available to the landless. At times, the size of the plot has been very small making it uneconomical to cultivate and at other times the allottees have not been able to occupy the land. The policy also envisages tenancy reforms by which the land would belong to the tiller. Lack of system of registering tenancies makes implementation of the law very difficult. The consolidation of holdings is also being emphasized particularly in areas of irrigated tracks. There is a suggestion for formulation of Village Committees for getting cooperation of the local people in the implementation of land reforms.

The description of the programme gives a birds's eye view of the activities initiated to bring about a said transformation in the rural areas. They also give an indication of the type of programmes that need to be evaluated. The case studies provide the different areas in which evaluation studies have been conducted.

PART II

Organization for Evaluation

Introduction

The heterogeneous character of the rural population with varying levels of socio-economic development gave rise to problems which are multidimensional in nature. In order to solve these problems, various approaches to planning have been adopted and a variety of development programmes formulated by the Government of India in the past twenty seven years. These have been described earlier. From the initial stages of planning, the Government has also recognized the need to have a regular evaluation of the results of development programmes against set targets, the efficacy of the methods adopted and also the socio-economic impact of these programmes on rural population. This has been considered important from the point of view of improving policy, plan and programme formulation and also implementation. The First Five Year Plan (1951) states "with every important programme provision should always be made for assessment of results systematic evaluation should become a normal administrative practice in all branches of public activity".

In pursuance of this, the Programme Evaluation Organization (PEO) was set up in October 1952, as an independent agency working under the general guidance and direction of the Planning Commission. It was initially entrusted with the task of evaluating one programme only, namely, the Community Development Programme. The main concern was to help programme administration rather than policy and plan formulation. Gradually, the objective of evaluation was widened to include the study of impact of development programmes on different sections of population so that it would help policy and plan formulation. During the Third Plan period i.e. 60's

the need was felt to set up evaluation machinery at the state level also. At present, most of the states and Union Territories have Evaluation Units/Wings to evaluate programmes at State level.

The present section gives the functions, organizational structure, personnel and resources of the Central PEO and state level Evaluation Units. Reference will also be made to the role of other organizations such as Universities and research institutions. The procedures for selection of studies for evaluation, for finalization of reports and arrangement for regular follow up of evaluation results shall also be dealt with. Lastly, it shall also deal with the linkages between the central and state level evaluation units, the extent of co-ordination and co-operation in respect of selection of studies, collection of data and reporting procedures and the extent of involvement of beneficiaries in the evaluation process.

Functions of Programme Evaluation Organization

In the initial stages of its inception PEO was solely concerned with the evaluation of one programme viz. Community Development Programme which was launched in rural areas only. The main emphasis of PEO's studies was on extension methods, their effectiveness and also on the attitudinal changes brought about by the programme among the rural population. Gradually, the scope of PEO's functions widened and at present includes the following:

1. Evaluation - ex-post-facto, concurrent and "quick" - of selected socio-economic programmes, mainly falling within the purview of central or centrally sponsored sectors. Development programmes launched in urban areas are also within the purview of PEO. Evaluation may be only an assessment of programme results against set-targets, or/and also a

measurement of their impact on the socio-economic structure of the community. It may also be evaluation of the adequacy of the administrative structure and procedures adopted. Ex ante evaluation is outside the purview of PEO.

2. The PEO brings to the notice of the concerned divisions of the Planning Commission and the administrative Ministries the conclusions and recommendations of their studies for follow up action.

3. It is also charged with the task of advising the State Evaluation Organizations in undertaking state level studies. It supplies relevant literature, extend technical advice by way of guidance in evolving appropriate methodologies. It imparts training on evaluation techniques to the personnel in state Evaluation organizations and also undertakes evaluation studies jointly with the state level units.

Organizational Structure of PEO: (Headquarters)

The Central PEO is under the direct control and supervision of the Planning Commission which itself is a statutory body set up under an act of Parliament. PEO is a three tier organization with its Headquarters located in New Delhi. It has seven Regional Offices located at Calcutta, Madras, Bombay, Hyderabad, Jaipur, Lucknow and Chandigarh and a net of (27 project offices apart from 7 regional offices) project Evaluation Offices at the field level. (See Appendix I)

The technical work at the headquarters is divided into six branches viz., Social Development, Institutional Economics, Agricultural Economics, Statistics and Co-ordination, Training and Evaluation and Computer services Centre. The PEO is headed by a Joint Secretary who is a technical person. He is assisted by a Joint Director, a Director and four Deputy Advisers. All of them are technical experts in their own areas of work.

They are in turn assisted by technical staff such as Senior Programmers, Senior Research Officers, Programmers, Research Officers, Investigators etc. The existing staff strength at the headquarters is 62 against a sanctioned strength of 74. The annual budget of the Headquarter's Office is Rs.4.7 million. The major part of it goes to salaries of the PEO staff. Some of it is allocated to travel. The Publications are done by the Government Press.

The second tier in the PEO set up is the Regional Evaluation Office (REO). Each of the seven Regional Offices is headed by a Regional Evaluation Officer. He is assisted by research officers and a complement of technical and administrative staff. The functions of the REO are:

1. Supervision of the field work and guiding the project evaluation offices in their jurisdiction;
2. Providing technical guidance to State Evaluation Units in organizing state level studies;
3. Maintaining close liason with the State Governments; and
4. Keeping abreast of the important developments in the policies and programmes of the states and keeping the headquarters informed of the same through periodical reports.

The lowest rung in the PEO set up is the Project Evaluation Office. There are at present 27 such offices spread over the country. They are headed by Project Evaluation Officers who are assisted by two Economic Investigators. They are responsible for reporting on the working and progress of the development programmes in their areas to the REOs and for collecting data for the socio-economic studies taken up from time to time.

At present there are 124 field staff posted at the Regional and Project Evaluation Offices against the sanctioned strength of 144. The total of headquarters and field staff of PEO is 186 against its sanctioned strength of 218.

The staff strength of PEO and its budget provision appear to be grossly inadequate when they are viewed against the vastness of the country, and magnitude of expenditure on rural development and the variety of programmes undertaken in the rural areas. Recently India has introduced rolling plan concept which requires annual review of plans and programmes. The change in the planning concept has a definite bearing upon evaluation. The assessment of the on-going programmes has a greater role to play in aiding the current planning process. PEO needs strengthening by way of inducting more technical personnel and increasing the project evaluation offices. Recently, the demand for evaluation studies from the administrative divisions of the Planning Commission and the administrative ministries also has increased. In 1977, 91 studies were suggested by the Various Divisions of the Planning Commission to their Socio-Economic Research Unit. The increase in demand from administrative ministries for evaluation is a healthy sign in the right direction. The PEO is however unable to cope up with the demand for evaluation studies as no provision has been made for increasing their staff position or temporary recruitment of staff. It also does not have the authority either to collaborate or entrust studies to outside agencies like universities and other autonomous bodies.

However, the socio-economic unit of the Planning Commission (previously known as the Research Programmes Committee) sponsors research with a view to aid the commission in its functioning. It has the authority to entrust research studies to outside agencies like universities and Research Institutions. If the studies are evaluative in nature, the unit generally refers them to the PEO. In case PEO is unable to take them up during the year either because of their earlier commitments or due to paucity of staff, the Unit will ask outside agencies to undertake the studies. The administrative ministries are also free to sponsor studies for evaluation and entrust them to universities

and research institutes etc. For example, the Department of Rural Development have requested Indian Institute of Public Administration, New Delhi, Indian Institute of Management, Bangalore, ANS Institute of Social Studies, Patna etc., to evaluate the working of DPAP in different districts in the country. The procedure in such instances is to set up an Advisory Committee. Selection of the studies and finalization of the reports is done in its meetings.

Some individual research institution and researchers also undertake evaluation studies irrespective of being sponsored by Governmental agencies. In such cases the problems are in establishing rapport with the administering agency and of securing data for the purpose of study.

Evaluation Machinery at the State Level

With the gradual expansion of the Community Development Programmes and the introduction of Panchayati Raj institutions in the sixties, the States felt the need for evaluation of the programmes and institutions. PEO was requested at a number of Annual Conferences to undertake evaluation of state level programmes. In 1960 the Conference recommended that State Governments should set up their own evaluation machinery. The working Group on Evaluation in States had recommended in 1964 the setting up of Evaluation Units/Wings at the State level as an integral part of the state planning machinery to evaluate development programmes at the state level. The Government of India accepted the recommendation and offered financial assistance to States to the extent of two-thirds of the expenditure incurred on the units. As a result of the central initiative evaluation wings/units came into existence in all the states and union territories excepting Sikkim. Evaluation machinery was established in eight States and Union Territories before 1965

and in the rest between 1965 and 1974. A majority of them are engaged in carrying out evaluation studies only. However, in a few states they are also engaged in the work of monitoring, appraisal, plan formulation and training of junior staff. (See Appendix II).

The Working Group on Evaluation had recommended that the Evaluation machinery be set up under the Planning Department Board. As is evident from the table in Appendix II, this has not been followed by many states and there is vast diversity in practice. In Bihar, Haryana, Jammu and Kashmir, Meghalaya, Madhya Pradesh, Maharashtra, Punjab etc. the evaluation Wing is located in the Bureau of Economics and Statistics. In Tamil Nadu it forms part of the Finance Department. The Working Group also suggested that there should be four subject matter divisions viz., economics, statistics, administration and sociology, in the state headquarters organization. The present set-up does not conform to these disciplines and only few states have headquarters as well as field level organizations.

The Working Group on Evaluation in the States (1964) recommended a uniform evaluation machinery in the states, comprising of a Director, two Deputy Directors, one Assistant Director, three Research Assistants, six investigators, six Computers and three to six field units. However the states present a diverse picture and a vast disparity in the staff strengths of these organizations. It varies from 4 in Andhra Pradesh to 105 in Rajasthan and 72 in Bihar. Only 15 states/union territories have senior level officers (Director/Joint Director etc.) as head of evaluation units (Appendix IIIA). In some of the states like West Bengal and Assam, evaluation organizations are headed by officers of the administrative service rather than by the technical persons trained in evaluation and research methodology. The number of supervisory level officers (Deputy

Director, Senior Research Officer Asstt. Director, Research Officer etc.), ranges from one each in Andhra Pradesh, Himachal Pradesh, Manipur, Nagaland, Delhi, etc. to 20 in Rajasthan. Similarly is the case with junior level staff. The variation in the evaluation skills also is said to be marked as between states and is reflected in their evaluation studies also.

Budget of State Evaluation Organizations

Separate budget allocations are not made in respect of Andhra and Delhi. They form part of the budget of the planning department. Some states like Andhra Pradesh, Himachal Pradesh have plan budgets where as Haryana, Jammu and Kashmir, Maharashtra, Punjab etc. have only 'non plan' budgets. Some states have plan as well as non-plan budgets. The amount allotted in the 1978-79 budget (non-plan and plan) varies from 0.048 million in Manipur, to 1.6 million in respect of Uttar Pradesh. (Appendix IV). The total amount allocated to evaluation units in the states is Rs.10.12 million out of which 3.54 million was under plan and 6.58 was under non-plan budgets of the states.

Procedure for selection and finalization of studies for follow up (PEO)

The PEO invites suggestions from the various divisions of the Planning Commission and Central Ministries regarding the Programmes for evaluation. After collecting the suggestions PEO places them before the Member in charge of evaluation in the Planning Commission for selection. The plan of study, the instruments for observation, schedules etc., are finalized after getting the approval from the Technical Advisory Committee associated with each study. The Committee consists of senior officers from the concerned Department in the Ministry and the division in the Planning Commission and one or two non-officials and experts. After

pre-testing the schedules a seminar of PEO officers will be held to discuss technical aspects of the study and to draw the programme of work for the study. The draft report is presented for consideration and approval of the Technical Advisory Committee and thereafter, to the Planning Commission for its release.

The report approved by the Technical Advisory Committee is forwarded to the concerned department of the Ministry and also to the concerned division in the Planning Commission. As senior officers from both these organizations are represented on the Committee where the report is discussed and finalised relevant action is taken up in most cases of concurrent evaluation. In respect of post facto evaluation studies the recommendations are kept in view in the formulation of future programmes. If the concerned Department in the Ministry disagrees with the findings of the study, the issue will be discussed with the Planning Commission at the time of formulating the Annual Plan of the Department. If the scheme is financed from non-plan grant, the follow up is solely dependent upon the initiative taken by the department and there is no specific machinery to enforce follow up of the study. Organizational arrangements to keep track of the extent of implementation of the findings of the study are also absent.

Procedure for selection of studies, finalization
of reports and follow up at State level

In pursuance of the recommendation of the Working Group on Evaluation in States (1964) 14 States and one Union Territory have formed Evaluation Committees, to select studies for evaluation and to discuss and finalize the findings of the reports. In Gujarat, no separate Committee exists for the purpose, but the State Planning Board fulfils the role. In U.P. the Economic Advisory Council functions as

the State Evaluation Board. In Kerala, there is a full time Member in charge of evaluation on the State Planning Board.

In most of the states where such Committees have been constituted, they work under the Chairmanship of Chief Secretary, but in a few others they are presided over by Planning/Development Commissioner or Secretary, Planning. The size and composition of the Committee vary from State to State. But majority of them include secretaries of planning, finance and secretary of the concerned departments. In Maharashtra and Jammu and Kashmir, members from universities are also included.

In Gujarat it is the State Planning Board which approves the reports of the evaluation study whereas in Goa, Daman and Diu it is the state Government which is the competent authority. In Maharashtra, they are discussed and finalised in the Project Evaluation Committee where secretary of the concerned department is also present. In case of disagreement between the Project Evaluation Committee and the Secretary of the concerned department the report is placed before the State Evaluation Committee for final decision.*

The primary responsibility for implementing the recommendations rests with the concerned department but the extent to which the implementation is made obligatory varies from state to state. In Assam, Gujarat, Goa and Daman the department is directed by the Evaluation Committee to implement the recommendation. In Andhra, the decisions are pursued by the Committee with the concerned department and the progress is reviewed in the meetings of the State Evaluation Committee. In Delhi, U.P. and Orissa, the concerned department is asked to report the progress of implementation of the study. In most states, there is no separate agency which reviews and monitors the progress of implementation of the findings.

* In Maharashtra there are two Committees.

"Follow up system is in operation in most of the States/Union Territories but the mechanism evolved vary considerably and creates a doubt about the degree of its effectiveness. The picture in regard to the actual arrangements for monitoring the progress of the implementation is not clear. In view of infrequent meetings of the State Evaluation Committee, it is doubtful whether they are effective in ensuring proper implementation of the findings and recommendations.*"

Linkages between PEO and State Evaluation Units

The areas of co-operation between PEO and state level units could be in the selection of studies for evaluation, finalization of methodology, collection of data and reporting. At present, PEO's evaluation studies are concerned with central and centrally sponsored programmes and there seems to be very little co-ordination in the selection of studies. The PEO is making efforts to take up evaluation studies jointly with the state evaluation units. For example, the study of the Employment Guarantee scheme was initiated by PEO with the active co-operation of the Maharashtra State Government. The need to take more joint evaluation studies of programmes launched on a national scale and importance is recognised. This would enable the PEO to cover wider geographical area and also enlarge the sample size and the state government will be able to get an indepth analysis of the working of the programme in its jurisdiction. The working Group on Evaluation (1964) suggested the setting up of a Central Advisory Council on Evaluation consisting of representatives from State Governments, Planning

* Report of the Business session II - Follow up of findings made in Evaluation Studies - Proceedings and Papers of the First Conference of the Heads of State Evaluation Organization, New Delhi, 14-15, November, 1977.

Commission, Union Ministries and PEO to decide about priorities of studies, to review progress and discuss methods of evaluation and advise the central and State Evaluation Units. The overall function is to co-ordinate and streamline the activities of the Central and State units. The first conference of the Heads of State Evaluation Organizations held in New Delhi in 1977 suggested that such an All India body be set up to determine the programme to be evaluated on the basis of agreed priorities so as to avoid duplications. It was also suggested that the State Evaluation units should set aside 15 to 20 per cent of their capacity to the all-India co-ordinated studies and that the Conference be made an annual feature so that it could provide a forum for discussion of the wider questions relating to evaluation machinery.

Apart from few joint evaluation studies, the co-operation between Central and State PEOs is mainly in the areas of improving the design of studies, organizing training programmes, supply of relevant literature and extending financial help to strengthen state evaluation units. During 1968, a training division was created in the PEO to organise regular training courses on evaluation methodology to the middle and junior level functionaries of the state units*. Most of the states do not have facilities to train their own personnel in the methodology of evaluation. The resources of the PEO itself are very limited. It has a training cell with a Joint Director, a Deputy Director and two assistants. It could organize since its inception in 1968 upto 1972 only only 5 training programmes of 9 weeks' duration each for the supervisory level officers of the State Governments, besides training the junior level staff of the PEOs etc. After 1972, though there have been persistent demands from the States, it has not been able to organize any further courses. However, a few supervisory personnel could

* S.K. Sen Committee on Training in Evaluation 1967.

participate in the three Regional Workshops organized in 1979. A total of 689 evaluation personnel are engaged in the State Evaluation Organization and another 186, in the central PEO making a total of 868 out of which 23 are in senior level, 211 at supervisory and the rest at junior level (Appendix IIIB). The first conference of Heads of Evaluation Organizations, 1977 has appointed a committee to go into the whole area of training in evaluation. The draft of the committee report is ready and is under the process of finalization. The draft report has emphasized the need to organise systematic training for the evaluation personnel especially at state level and to tailor the training programmes to suit the requirements of evaluation work at each level. For the purpose they suggest that the evaluation personnel are placed in three categories, senior level comprising of Director/Additional Director/Joint Director/Deputy Adviser/Project Director, supervisory level consisting of Deputy Director/Senior Research Officer/Assistant Director/Research Officer/Evaluation Officer, and the rest in the junior category. The training of the senior and supervisory level personnel will be the direct responsibility of the Central Programme Evaluation Organization and that of the junior level the responsibility of the State Evaluation Organizations. Necessary guidance and support will be given to state units by PEO. Regional Workshops on Evaluation of one week duration each are suggested on a continuous basis and five times a year. There will also be discussions on the design and methodology of studies and also on the findings of selected evaluation reports of PEO and state evaluation organizations in the workshops. There will be three training programmes for the supervisory level personnel in a year and of four weeks' duration each. The emphasis will be on theoretical and conceptual lectures, data collection techniques, report writing

etc. They recommended that the staff of PEO may be increased in view of the requirements. These measures if accepted will go a long way in improving the quality, timeliness and follow up action of the reports.

Involvement of beneficiaries in monitoring and evaluation process is limited to their role as respondents in the studies undertaken by the PEO. There is some use made of local institutions (e.g. panchayats, mahila mandals, etc.) in the rural areas, mostly to publicise the studies so that rapport between the community and the researchers is built up easily. The view of the leaders in these organizations is also elicited with regard to the programmes which are being studied.

PART III

Organizational set up for Monitoring

Introduction

Monitoring is keeping track of project activities with the purpose of aiding management in the control and direction of the necessary resources in an effective manner. It involves watching the progress of utilization of project inputs, the timely unfolding of project activities and identifying shortfalls therein and also the circumstances that are critical to effective project execution through a system of continuous reporting to different levels of management. The information not only aids management in project execution and control but also provides a basis for concurrent and post-facto evaluation which involves assessment of the performance of the project in terms of timely generation of project outputs and making judgments regarding its overall progress and impact. Monitoring and evaluation are thus closely related requiring action-oriented analysis and are essential requisites in the administration of development plans and programmes. The organizational structure and the procedures evolved for its functioning have necessarily to take into account the interrelation of the two processes and provide scope for meaningful linkages and coordination.

Studies undertaken by the Administrative Reforms Commission (1967) and the Planning Commission have pointed out the delays in setting up suitable machinery for monitoring and recommended for their early establishment in the Ministries and state departments dealing with developmental activities and strengthening of the existing ones. A Monitoring Division was set up about seven years ago in the Planning Commission with a view to monitor the progress of the plan sector-wise on a country wide basis. The objective is to enable the Planning Commission and the Central Government

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to find out the shortfalls in plan implementation so that corrective action could be taken, at the mid-term review or even earlier, of the Plan. Therefore, monitoring reports of the Division are sent to the Commission and to the Cabinet for purposes of discussion and taking appropriate action.

The Division is headed by an Adviser. He is assisted by a Joint Adviser, Director, Joint Directors and Senior Research Officers and some junior level technical and administrative staff. At present the posts of Adviser and Joint Adviser are vacant. The strength of the staff is limited to seven to eight senior technical personnel. When the position is viewed in the context of the magnitude of the task, a glimpse of which is indicated below, is woefully inadequate. This fact is likely to affect the timeliness and comprehensiveness of their reports.

Even though the Division is supposed to do the monitoring of the whole plan i.e. all the sectors, it is at present undertaking limited number of sectors which are considered important. Monitoring reports are being prepared for the first time on a sectoral basis, that is including both central and state governments' programmes and projects, for the country as a whole in respect of power, minor irrigation, agriculture and small scale industries. Rural development programmes as such which are implemented by the Rural Development Department (recently constituted as Ministry for Rural Reconstruction) are not yet taken up by the Division because its objective is to monitor the Plan sectorwise. Rural sector as such is very wide and the types of programmes which cater to the rural population cut-across many functional areas. The scope of the Monitoring Division's reports is at present limited to the monitoring of expenditure incurred against the estimated one. There is very little monitoring in terms of physical progress.

Apart from the task of monitoring the progress of certain sectoral plans the Division is also charged with the responsibility of monitoring certain projects in the Plan involving substantial financial investments. They are mostly construction works in the areas of power and irrigation or industry. Here the scope of monitoring includes not only progress of expenditure but also physical progress made and identification of bottle-necks in the timely implementation of the project.

The reports of the Monitoring Division are mainly based on data received from the administrative ministries and departments of the central and state government. The Planning Commission is not an executing agency. Therefore, there is no formal mechanism to ensure or check that the data sent to the Division is to date and accurate.

The Division has also been helping the central and state governments in designing a scientific system of data collection and monitoring. The Sixth Plan has allocated a sum of ten crores (100 million) for this purpose. 75% of the expenditure incurred by the central and state departments will be treated as plan grant. At present, the Division is helping the Central Departments of Health, Education, Urban Development etc., in the designing of a monitoring system.

The Monitoring Division of the Planning Commission is also building up two types of data banks with the objective of aiding plan formulation and monitoring. One is on a national scale and is computerized. The other one is at programme/project level only. The aim is to help monitor the progress of programmes in the right perspective. For example, under the head Minor Irrigation the data classification is under such subheads as desilting of tanks, deepening of wells, digging of new well, tube wells etc. The main hurdle here is that the data flow to the Division is not continuous.

It is evident from the foregoing that the Monitoring Division is concentrating mainly on sectoral plans and on massive construction projects and is not focussing on rural sector as such or rural development projects whereas Programme Evaluation Organization is concentrating mainly on rural development projects and programmes. Though both of them are located and are under the overall direction of the Planning Commission, the processes are running parallel and operating in fairly well-defined and demarcated spheres. Therefore, the linkage between the two is almost non-existent. The question of monitoring division providing data base for PEO's evaluation studies does not arise. It is not also clear to what extent there is coordination between the two divisions in gathering information to the data bank computerized or otherwise. However, there is rethinking in the commission for greater cooperation between the two so that data gathered by them will be helpful in better policy formulation, planning of projects and their implementation.

The organisational set up at the Ministry level varies from one Ministry to the other. In the Rural Development Department, Directorate of Intelligence has been set up during 1978-79. It is charged with the specific task of gathering information on rural development projects, such as Small Farmers' Development Agency, Drought Prone Areas Programme, Integrated Rural Development, Antyodaya etc. Rural health, rural electrification and rural water supply are outside the purview of Rural Development Department. It has also started, this year, base line household surveys of small and marginal farmers and agricultural labourers in about six hundred blocks. The purpose is to ascertain the situational factors and identify the requirements of these families. This would facilitate in the formulation of new schemes which suit their requirements or in bringing the families under appropriate existing schemes. The data is being collected

by the Directorate through the block and village level functionaries like VLWs and Patwaries and also enumerators employed on a temporary basis.

The Directorate is headed by a Director who is in turn assisted by a Project Economist, two Research Officers, two Junior Technical Assistants, a Computer and a Junior Technical Assistant. The staff strength of the Directorate is inadequate as compared to the magnitude of expenditure on rural development and the number of programmes on which the information is to be collected.

The Directorate gets monthly, quarterly, half-yearly and annual reports from the Project Officers of the SFDA, DPAP etc., who are located at the district headquarters. The type of information pertains mostly to financial achievements, that is, the amount of credit provided, the amount of subsidy paid and the amount of expenditure incurred on the programme under different sectoral heads such as fisheries, sericulture, agriculture, irrigation, forestry, animal husbandry, etc. It also includes in some cases, the physical progress of the programme, that is, number of beneficiaries identified, mandays of employment generated, seeds distributed, tube wells installed etc., along with a critical narrative of the programme by the Project Officer. But there is no formal organizational arrangement by way of supervision etc., to find about the accuracy of the data. This is attributed partly to lack of adequate staff. A system of supervision also helps the Department in finding out why a particular scheme is being favoured by the village people to the others. There is a certain amount of lack of awareness of this on the part of the Department.

The linkages between the Divisions of Monitoring in the Planning Commission and the Directorate of Intelligence in the Department of Rural Development is limited to the sending of periodical reports on the projects and programmes by the later to the former for use at the time of mid-year or mid-term review of the annual and five year plans.

At the state level, the machinery for monitoring is generally limited to information or statistics gathering set-ups. The Bureaux of Economics and Statistics in most states are statistics collection units on such aspects of area sown, area under a particular crop etc. The Planning Boards are well staffed and active in a limited number of states only such as Gujarat, Kerala, U.P. etc. But it is not clear whether in these states, separate monitoring cells with the specific task of monitoring the progress of programmes and projects in both physical and financial terms are set up.

At the District level there is a District Coordination Committee consisting of the heads of all the developmental departments and project officers in respect of projects like SFDA, DPAP etc. It meets generally once a month under the chairmanship of the District Collector. The progress of the programmes under the jurisdiction of each departmental head are discussed and corrective action is suggested by the committee. The functional heads send periodical reports to the state functional heads and the District Collector to the Development Commissioner. The number of reports sent from the district headquarters is said to be quite large. The scope for their rationalization is said to be immense.

PART IV

Evaluation Methodology

Introduction

The attempt to define evaluation indicates a concern both with information on the outcomes of programmes and judgments regarding the desirability or value of programmes. Different definitions emphasise different aspects - information seeking, effectiveness of procedures, achievement of goals and efficiency (effects in relation to cost).

Evaluation studies can be done at different levels. It can be purely informal - where a discussion is held with the concerned group, or it can use systematic research methods. The concern in this paper is with formal studies and the application of scientific research methods to collect data as well as in their analysis.

There can be three types of evaluation studies namely; feasibility, concurrent and ex-post facto.

The feasibility study is done before the launching of a programme to assess the possibilities of achieving the set goals. Concurrent evaluation is an analysis of the effects and impacts compared to targets set, carried out during the implementation of the project. The purpose is to suggest solution or to change the course in the implementation in order to achieve better results, if need be.

Such a study would also indicate whether concerned groups are being reached.

The ex-post facto evaluation is undertaken after the completion of the project to determine whether the goals set have been achieved and the effects of the project. Such an approach should also help in formulation of policies in similar projects elsewhere.

Currently evaluation, by and large, is confined to quantitative measurement. The goals of rural development programme may not always be measureable in quantitative terms. An evaluation study directed towards assessing rural development projects have to devise methods by which attitudinal change can be identified and measured. Moreover, evaluation analysis must present data as well as interpretation as to what the statistics mean in relation to the objectives for which the programme was organized. This will mean that measurement will have to be made against certain values. Thus conceived, the method to evaluation will tend to be both statistical and sociological.

Approach in India

The PEO has undertaken 107 studies. 92 are completed and the other 15 are to be finalised. (see Appendix Va). The state evaluation organisation have completed 907 studies. (see Appendix Vb).

The studies undertaken by the Programme Evaluation Organization have mostly been the ex-post facto type. About three-fourths of the studies conducted by the programme would fall under this category. This was inevitable in view of the fact that it was set up to assess the progress of the Community Development Programmes in terms of achievement of set targets. In the case studies cited the high-yielding varieties is an example of the ex-post facto study; so also the regional variations in social development and levels of living. There is some rethinking with regard to approach to evaluation, particularly, in the context of the

rolling plan concept which has emerged as the approach to planning in the Sixth Five-Year Plan. Such a plan suggests that appraisal be made from year to year and necessary changes effected for better performance. Therefore, a felt need has arisen for concurrent evaluation of rural development programmes. The studies of the SFDA and Antyodaya programmes are examples of concurrent study. There is a third type of studies which are termed "quick surveys". Such studies are being undertaken at recent programmes such as Integrated Child Development Schemes and Antyodaya. The effort is not to look at the totality of the programme but to take specific aspects which would give an indication as to the direction in which the programme is going. In the Antyodaya programme, the quick study looks at the adequacy of the organization to implement the programme and the process by which the beneficiaries were selected.

In the earlier period of the inception of the PEO it undertook benchmark surveys. This was found necessary as the (a) extent of adoption of new practices and (b) impact on socio-economic life could not be measured without a base line. The surveys were undertaken in 18 evaluation centres, which had been selected. The surveys gathered data on topography, households, population, holdings, agricultural practices, economic conditions, housing, consumption, community activity and employment, of the villages.

In each of the selected village some information was collected for all the households. A sample of cultivators, agricultural labourers were chosen and information on their conditions was gathered. Personal interviews, with a prepared questionnaire, was the method used for eliciting data.

In 1965, there was a resurvey of all the villages in which bench mark surveys had been conducted, to discover what changes had taken place over a decade.

From the description above, it would be obvious that the model which the PEO uses in its studies is "goal attainment" model. The focus in this approach is to collect data so as to measure whether the goals set have been achieved. One of the weaknesses of such a programme is that it fails to take into consideration all the variables that can affect the accomplishment of set goals. As opposed to this, a "system model" can be adopted. This approach is concerned with the degree to which organization realizes its goals under given set of conditions. From the case studies, it would be seen that while emphasis is on the attainment of targets, there is some effort to look at other factors as well in recent studies.

Criteria

In most of the studies undertaken by the PEO, the criteria used for evaluation seem to be specific goals set in each programme. The measurement is generally in terms of the achievements in quantitative terms. The number of adoptors (of new agricultural practices, family planning practices) has been the approach in some other studies. The adequacy of response is evaluated against the set targets. There is an effort at classifying the adoptors into various categories based on their socio-economic status. Occasionally, case studies have been made to get at greater depth with regard to factors that may affect the implementation of programmes.

Some studies have had the cost efficiency criteria but it is felt that in programmes where output is expected in broad social goals, the cost benefit approach may not provide realistic basis for analysis.

Attitudinal or behavioural changes are difficult to measure in terms of cost. Moreover, there may not be any immediate impact of an attitudinal change in terms of either adoption of practices or increase in production. However, this raises pragmatic questions with regard to policy formulation and programme activities. Another approach which has been suggested is that evaluation studies should look at the impact or effectiveness of the programme in terms of the overall national goals. The studies that have been cited and listed indicate that most of the studies undertaken by the PEO by the very nature of the organization tend to be limited in coverage. Such studies only give some ideas as to whether the national goals are being achieved only in a limited way. Moreover, the studies that have been undertaken by the PEO have been, by and large, confined to rural development programmes. Consequently, it is difficult for it to look at the achievements of the national goals such as social justice, self-reliance, narrowing of inequalities. To some extent, the annual and mid-term appraisal of the plans at national levels do make an effort at an overall appraisal. The annual reports of the ministries and departments engaged in rural development are also a limited exercise in this direction.

Types of Indicators

Most of the evaluation studies have approached the problem from the point of view of achieving set targets of the programme or project. Therefore, they have mostly used performance indicators. The case studies in the appendix confirm this approach. Perception and participatory

indicators have been occasionally used, particularly in those programmes where attitudinal changes are necessary. The studies undertaken are of specific programmes and not in terms of the national goals or objectives with regard to rural development.

The indicators chosen are in terms of set targets which are usually quantified. When the goals are not clearly stated in the project, efforts are made to discuss the programme with the implementing agencies before the study is initiated so that the specific goals may be determined.

The indicators to measure a programme are, hence, derived from the specific goals and objectives of the programmes. These are operationalised in terms of specific questions to which answers are sought in any particular study.

The measurement is, by and large, quantitative i.e. to study the achievements. Efforts are made in the interpretation to relate the achievements of the specific programmes to the overall socio-economic goals enunciated in the plans.

Techniques of data collecting

The studies undertaken by the PEO are empirical in nature. The most often used method is the survey research. This method is probably the most appropriate method in view of the vast data that has to be collected in a country like India even to get some idea with regard to the accomplishments in various programmes. The method is also relevant when the evaluation studies pertain to the participative role and perception of the beneficiaries. The primary data that is collected is supplemented for a fuller analysis by the data generated at the operational level through the operating systems as also the national and state level census, the National Survey Sample, special

commission reports, etc. In the study on Regional Variations in Social Development, four sources were used. (1) Analysis of available administrative data (2) Data gathered by National Sample Survey (17th round) on land holdings. (3) Data from the Reserve Banks survey on rural debt and investment. (4) Data collected by the PEO through its own surveys.

At times, case studies have also been undertaken e.g. in the study of successful Panchayati Raj Institutions. Case studies have also been used within the context of larger surveys which could help in providing further insights with regard to the implementation of specific programmes.

The variety of studies has naturally meant the use of different sampling methods - purposive, stratified, multi-stage, cluster and random. The sampling design depends on the project to be studied, the extent of coverage required, availability of resources, time and personnel. In the appendix an example is given of the sampling methods. They indicate the complexity of designing a sample in a large country.

PART V

Summary and Conclusions and Suggestions

The population of India is not only large but is also growing at a rapid rate leading to an increase in its work force. Agriculture is the backbone of India's rural economy providing livelihood to about 70% of its population. Land is a scarce commodity in nature, substantial areas of marginal land are already brought under the plough. Capital which is another crucial input in agriculture is also limited and the rate of capital formation is low. These factors are coupled with vast inequalities in income and wealth, rigid social structures, low levels of literacy and skills, the low level of technology in rural occupations, be it agriculture, sericulture, horticulture, diarying or poultry farming adds to the problem and resulting in low levels of productivity and income. Low levels of incomes coupled with high growth rate in population lead to low level of economic activity and thereby to unemployment. Poverty takes its substance and shape essentially from unemployment, underemployment and low productivity.

The factors leading to poverty are not static and have to be viewed in the dynamic context of time. They are also interdependent. Rural development policy should aim at not only changing the magnitude, nature and direction of these factors but also their inter-relationships. Therefore rural development involves the development of human as well as material resources. The former involves the creation of a 'will to develop' among the people and the latter a progressive development of infrastructure and improvement in the material conditions for production.

Bringing about these changes in a society steeped in economic and social inequalities, rigid social structures, low levels of literacy and technology is not an easy one. Nevertheless, substantial efforts have been made in the past thirty years to bring about socio-economic transformation.

The Government of India recognized the crucial role of agriculture and its allied activities in the rural economy and has made it the main instrument to carry out its rural development policy. Accordingly, in the first three plans emphasis was placed upon the provision of infrastructural facilities like water, power, transportation to aid agriculture besides package delivery of inputs like seed, fertilizer, credit, technical know how etc. The assumption was that State intervention in these areas would help the farmer in improving productivity and thereby incomes. The community Development Programme was primarily geared to deliver inputs, diffuse agricultural innovations and to reorient the attitudes of the people to suit the needs of socio-economic development. Panchayati Raj institutions were evolved with the main objective of securing the cooperation and participation of the rural people in the development process. The evaluation studies, IADP etc. pointed out that the benefits of governmental expenditures and effort were flowing to the richer sections of the rural population and that the poor were getting poorer. The objectives of economic growth in general and food production in particular were realised to some extent but not social justice.

The search for a new strategy began in the seventies. The SFDAS, MFALS were started during this period to provide state aid by way of social and economic infrastructure to the identified target groups viz., the poorer sections. The emphasis is at present on wage employment as well as

self-employment generation schemes aimed at benefiting the poorer strata of rural society. The specific goals of Rural development policy in the Sixth Plan are accordingly spelt out as the removal of unemployment and significant underemployment, bringing about an appreciable rise in the standard of living of the poorest sections of the population and providing some of the basic needs like housing, drinking water, health and education to those who are below the poverty line. Project and sectoral approach is found to be inadequate for the purpose and an integrated approach focussing attention on target groups comprising of small and marginal farmers, agricultural labourers, rural artisans etc., and on target areas which are backward in natural endowments and lagging in development was evolved. Family is taken as the unit of development and active involvement of the voluntary agencies and big Industrial houses is elicited to strengthen the efforts of government departments and Panchayati Raj institutions in identifying and planning for the uplift of the target groups and areas.

Evaluation

Monitoring and evaluation system has been recognized in India as an important part of the administrative process. The Government of India had set up in the initial stages of planning itself a Programme Evaluation organization under the overall direction of the Planning Commission. It has regional as well as project offices spread over the whole country. The relationship between the PEO and its regional and project offices is well defined, PEO being responsible for the design of study, instruments of observation, methodology, analysis of data, preparation of the report, placing it before the Planning Commission and forwarding the same to the implementing agency and project offices collecting data under the overall supervision and guidance of the regional level offices.

There are evaluation units/wings at the state level. They form part of Planning Department in some states and in others under the Bureaux of Statistics and Economics. In very few states there is headquarters as well as field office set up.

Apart from these organisational structures, there are research institutions and universities which also undertake evaluative studies on their own or at a request from the Planning Commission or administrative agencies.

In respect of selection of studies, finalisation of reports there are set procedures and formal organisational arrangements both at central and state levels. In case of follow up of findings of the reports, the arrangements at the central level, though indirect are more effective than at the state level. The state Evaluation Committees which are entrusted with the task of selection, finalization and follow up of studies are large in composition resulting in infrequent meetings. The follow up of studies is not effective at the state level.

The PEO as well as state units ensure the cooperation of the implementing agency in the evaluation process from the definition of the problem to finalisation of reports by way of having a representative from the agency on the Technical Advisory Committee and Evaluation Committee at the central and state level respectively. The cooperation of the field level administration is also sought before finalising the design of the study.

The interlinkages between the PEO and state level units is by and large limited to the organisation of training programmes by the former to state personnel. Training pertains to designing the studies and research methods. Apart from training, the regional offices of PEO help state units in designing state level studies. Apart from training, there are few linkages between the two levels. However, there is appreciation of the

desirability of conducting evaluation studies jointly of those programmes spread over the whole country.

The linkages between the evaluation and monitoring set-ups, be it at central or state level are either weak or non-existing. PEO's area of operation is mostly in rural development programmes whereas Monitoring Division of the Planning Commission is concentrating on construction projects involving substantial investments.

The cooperation between the PEO and the Bureau of Intelligence which has been recently set up in the Department of Rural Development is yet to emerge. The Bureau is at present gathering base line data on rural development programmes in some of the blocks.

Coordination between monitoring and evaluation agencies in respect of intersectoral projects in rural development is very limited. The Planning Commission makes a mid-term appraisal or mid-year review of the plan. Projects involving different sectors and costing substantial amounts engage the attention of the Commission.

The role of the beneficiaries in the process of evaluation is limited to that of respondents. Local institution like panchayats, are used to build up rapport with the people and to publicise the studies.

Monitoring

There is a monitoring division in the planning commission to help monitor the progress of the plan and also programmes considered to be important. By and large the concern of the division is with the plan as a whole on a sectoral basis. As rural development involves many functional sectors it is outside the purview of the Monitoring Division. In respect of programmes also the Division is concentrating on construction projects involving substantial financial investments in areas like irrigation, power etc.

The Rural Development Department had recently set up Bureau of Intelligence to help monitor the rural development programmes such as Antyodaya, SFDAs etc. But it is having only a skeleton staff and this function is at present limited to gathering base line data on selected programme. Its linkage with the planning commission's Monitoring division is limited to sending periodical information reports on progress of expenditure and not on targets achieved. The purpose is to enable the Commission in its mid-term or mid-year review of the plan.

Monitoring cells exist in some states in the department of agriculture but here also reporting is mostly on achievement of financial targets. At the District level District Co-ordination Committee in its monthly meetings discusses the progress of programmes and also the bottlenecks such as inter departmental co-ordination or supply of inputs etc.

Personnel

The combined technical staff of central and state evaluation set-ups is limited to a total of 868 out of which 23 are at senior level, 211 at supervisory and the rest at junior level. The Monitoring Division of the Planning Commission and the Bureau of Intelligence in the Rural Development Department are also functioning with skeleton staff.

Finances

The combined budgetary expenditure of State and Central evaluation set-ups for the year was about eleven million out of which four million was under plan and seven million under non-plan heads. There is considerable variation in the staffing and expenditure of state evaluation units between the states. It is not always related to the size of states or programmes.

Evaluation Methodology

Approaches to Evaluation

The evaluation studies undertaken by the PEO as well as state level organisations have been mostly of the ex post facto type. By and large the emphasis of the studies is on the target and project goal attainment and is not in terms of the overall policies and goals of rural development. There is, however, some rethinking in recent years and concurrent and 'quick' evaluation studies are also undertaken. SFDA, Antyodaya schemes are examples of such studies. In 'quick surveys', the effort is not to look at the totality of the programme but only to look at its specific aspects to find out how the programme is going.

Some bench mark surveys were conducted during the sixties by the Central PEO. With a view to compare them overtime some repeat studies of the same were also conducted. There were no indepth studies of the same programme as between different regions to find out regional variations. However, some comparative studies as between programme and non-programme areas were undertaken.

Criteria

The criteria used is specific goals set for the project or programme. The evaluation is not against the overall goals of rural development policy and programmes, such as redressal of poverty, generation of employment, bringing down inequalities in income and opportunities, self-reliance etc. Cost efficiency criteria is used in a very limited way. None of the studies used the criteria of spill over effects of the programme in economic and social terms.

Indicators

Performance and task indicators are the more widely used ones in evaluation studies. Perception and participatory indicators are also used in some of the studies, particularly where extension type of work formed major part of a programme. Well-being indicators have not been used as the emphasis of the studies has been only on the evaluation of programmes. In most of the studies performance indicators are constructed in quantitative terms and attitudinal and participatory indicators are constructed on the basis of available scales (Sewell etc.).

Almost all the evaluation studies are based on empirical research. Survey research techniques were used to collect primary data and sample selection is scientific.

The studies are mostly based on primary data collected from the field, that is, from the beneficiaries, administrators, panchayat officials etc. It is supplemented by published data. Unpublished data generated through periodical reporting system at the local level is also used in the interpretation of the field data.

CONCLUSIONS

The foregoing analysis brings out vividly that the monitoring and evaluation system in India possesses certain strengths as well as weaknesses. Focussing on the strengths of the system, we find that the system, especially, the evaluation system has been in operation for a long time in India. It was set up not as part of the administrative machinery but under the direct guidance and control of the Planning Commission which is a statutory body enjoying status and authority at the highest level viz. cabinet. By virtue of its location, PEO enjoys certain amount of autonomy vis-a-vis the

administrative machinery. This is essential for maintaining a certain amount of objectivity in its functioning and findings. Such an arrangement allows the PEO to come into contact with the general functioning of the Governmental agencies and their programmes. This helps the PEO to appreciate the strengths as well as the weaknesses of the politico-administrative system, which make its findings realistic.

Secondly, PEO has been from its inception, staffed by competent technical people. They are well trained not only in evaluation methods but also in different social science disciplines. Even at the state level, the staff is well trained in evaluation techniques though not to the same extent as at the Centre.

So far 107 evaluation studies have been brought out by Central PEO and around 900 by State evaluation set ups. The number of functional disciplines which are represented in the rural development scene are also to be found in the areas studied by PEO. The quality and competence of the staff is reflected in the variety of methodologies used and the reports. There is awareness of continuous training and the staff are sent to research Institutions and universities for training so as to keep themselves abreast of the latest developments in the field of research methods and techniques.

There is also scope to use the expertise of other research institutions and universities in evaluation of programmes and policies. The administrative ministries and the Planning Commission are using it to some extent.

The choice of studies and the task of problem definitions are done by PEO and state evaluation units in consultation with the administrative ministries. Efforts are made from the initial stages to build rapport with administering agencies by the PEO. Hence the demand from the administrative ministries and departments for evaluation of programmes is increasing.

As far as monitoring is concerned, there is a growing awareness in the administrative system about its importance.

Weaknesses

The variations in locating the state evaluation machinery under different agencies is indicative of the extent of importance attached by state governments to evaluation. The working group on evaluation in the States (1964) had recommended for setting up evaluation units under State Planning Boards. Not all states are having Planning Boards and even where they are having, evaluation units are not located under their jurisdiction. For example in Madhya Pradesh, even though there is a Planning Board, the evaluation unit is a part of the Bureau of Economics and Statistics. Utilization of evaluation staff for gathering routine statistics also is not uncommon.

The concept of monitoring is understood differently by different people in the administrative system. In many instances, the function of monitoring is understood as data gathering and reporting to higher levels. Even this is limited to reporting progress of financial expenditure as against the targeted one. Very few people seem to understand the concept of monitoring as having a data component. The data component provides the framework for measuring and collecting data containing information about the performance of that which is being monitored. Data gathering also is not done at present in this framework. The analytical component provides the framework for processing the data from the data component to extract through analysis that information which is to be disseminated to the relevant authorities. This is mostly absent. The action component provides the framework for acting on the information relayed by the information component by discriminating from among the alternative courses of

action, the best possible for dealing with the problem. The concept of monitoring is not understood at present in this sense. There is awareness that it is an essential requisite in effective programme implementation but its content is yet to be grasped, let alone being built into the administrative system.

Lack of relevant data on projects and programmes which in the normal course ought to have been generated through the monitoring system makes the task of evaluation difficult. Here monitoring system does not feed the evaluation system with data from the project level. The result is that in many cases, the evaluation unit starts collecting even the primary data. There is great scope for improvement in this direction. In the designing of a management information system it is essential to view monitoring and evaluation as interdependent processes.

Another weakness pertains to the inadequate linkages between the evaluation set up with the implementing agencies in respect of follow up of the findings of the studies. In many of the states, the functioning of the Committees on Evaluation leaves much to be desired. The size composition of the committees is large and meetings are infrequent. There is also in many states no formal procedure or arrangement to keep track of the findings of the studies.

The scope for cooperation between the central PEO and state Evaluation Units is immense especially in launching joint studies of national programmes of rural development. They will be greatly useful in finding out regional variations in the successful implementation of programmes and their impact on people. This has, however, been recognized and one study has already been brought out. It will also improve the quality of studies because the sample size could be larger and more variables included.

There are at present few policy evaluations. Impact studies relating programme effects to macro-economic variables like employment, incomes, poverty, distributive justice, self reliance etc. are far and few. This is an area where there is immense scope for pooling the resources of PEO, state level evaluation organizations and those of research institutions and universities. Collaboration efforts in this field could pay rich dividends.

SUGGESTIONS

Some suggestions are being made with regard to strengthening the evaluation process. These recommendations arise out of the conclusions that have already been mentioned and some theoretical consideration with regard to the organization and methodology.

The question that arise with regard to the location of an Evaluation Unit are:

- (a) Should organization be located within the implementing agency or outside it?
- (b) In either case the question of linkages between the organization and the implementing agency arises.
- (c) The roles of the evaluation organization in the follow-up or the implementation of the recommendations as a result of the findings of the study.

As evaluation research has come into its own, only in the recent past, there are no clear answers to these questions.

If an Evaluation Organization is located within the implementing agency, the problems of status, objectivity and the capacity to question the policies would arise. Generally, an outside agency is assigned the

task but such arrangement does not provide for continuity. The concerned agency may not be available at the time the evaluation needs to be undertaken. Permanent arrangement of some type is necessary so that evaluation can be a continuous process.

With regard to the approach, the evaluation studies have generally been ex-post facto studies. There is a growing concern as to the extent of usefulness of such studies. The need for feasibility as well as concurrent studies are being given serious consideration at present. Concurrent appraisal would require a good feed-back system through adequate monitoring arrangements. It would also assume that there would be timeliness as well as relevance of the information that is fed back with regard to the implementation process. Such studies can affect necessary changes if need be in policy and programme during the implementation itself.

Two models are being used in evaluation. The "goals attainment" model starts with initial goal setting proceeds to determine measures of the goals, collects data and appraises the effect of goal and then modifies the initial goal on the basis of collection of the data.

The system model on the other hand is concerned not only with the goals and sub-goals but also the co-ordination of the organizational sub-units, the execution and maintenance of necessary resources, the adoption of the organization to the environment and its own initial demands. The system model looks at the multiplicity of functions and progress in relation to achieving the set objectives.

Whatever model is used, evaluation research is applied research. This automatically means using of systematic research methods in the generation of data.

If the monitoring system is adequate, the evaluation research can partly be based on the data already available. The need however, for gathering, primary data cannot be ignored. The data, thus gathered must be valid and reliable and this requires good training in theory and methods of research, and sampling designs.

What should be the criteria in making judgments with regard to how a programme is going? It is not always possible to identify all the variables which should be evaluated in an activity, but it is necessary to identify as many of them as possible. By and large, the approach at present is to use performance indicators. The achievement of goals is generally the basis of evaluation. However, for an evaluation to be effective, it needs to look at cost efficiency also. Further, the adequacy of an organization to implement the programme is rarely studied. Moreover, generally, the approach is to look at sections or parts of a policy rather than a policy in its totality, which makes it difficult to make judgments in terms of national objectives.

Specific Suggestions

Organizations

1. As is evident from the chart in Appendix II the state organizations are very varied in their locations and number of staff. Some guidelines have been laid down regarding set up of the state organizations. There is need for some uniformity in the organization, personnel and functions in all states. Autonomy of the state organizations should be ensured so that they can be objective. A number of states need expansion of their organizations.

2. References have already been made to the need for the expansion of the Programme Evaluation Organization at the Centre. There is a great increase of the programmes in the rural areas. As can be seen from the case studies cited, the organization is only able to get a glimpse of the achievements in a few programmes. For looking at the rural development in its totality, the present structure is rather inadequate. Further, mention has been made of the need to study impacts of the introduction of the various programmes on the rural society. Such undertakings can be made only when there is expansion of the present set-up. A Committee has been set up to look into the question of strengthening the evaluation machinery.

3. There is a need for greater use of research institutions and universities in evaluation studies. As at present, the PEO cannot allocate any studies to the other organizations. Only the Administrative ministries or the Socio-Economic Unit in the Planning Commission can request other organizations to undertake studies. The PEO is being over-burdened with a large number of requests for studies. The PEO itself could be given flexibility to allocate studies to other organizations. The resources could be obtained from the administrative ministries which even now fund studies that are given to outside organizations.

The PEO does not also have much flexibility in availing of the services of an expert in various fields. The range of studies that the PEO is called upon to undertake are wide. The possibility of such arrangements would provide for strengthening the know-how - particularly in technical aspects.

Monitoring

The concept of monitoring is not yet very clear among the ministries. It is often mistaken only for information gathering or filling up proformas. The organization for monitoring is also very weak. Moreover the activity and time schedule are often not spelt out on programme formulation. Consequently, the present monitoring approach does not provide the necessary back drop for evaluation. There is an effort at trying to set-up monitoring cells in various ministries. The Rural Development Department has set-up one but it is not yet performing the functions that are related to monitoring. There is need for training of the personnel in these cells regarding the concept and the manner of collecting timely and relevant information, so that it can be useful both in concurrent and ex-post facto evaluation.

Linkages

The linkages particularly in terms of information regarding the follow-up of the evaluation findings are lacking in most of the states and also at the centre. However, as the PEO is located in the Planning Commission, they do have some sort of informal and indirect linkages with the implementing agencies. In the matter of follow-up such an arrangement could be made formal where the findings of the evaluation is discussed with the implementing agencies by the PEO under the auspices of the Planning Commission. Similar arrangements may also be worked out at the states. Recommendation to this effect, were made by a committee in 1964.

One of the case studies cited is a joint evaluation between the PEO and the state evaluation organization. There have been very few such studies. An increase in the number of such studies would be useful both for states and the Centre. It would provide a greater insight into the

implementation process, both to the centre and states. It would also give scope for using refined methodology.

Areas of Study

The evaluation organizations have, by and large, studied specific programmes with rather small samples. Given the constraints of the organizations, this was inevitable. The evaluation needs to look at the totality of the implementation of the programme including the impact. Such an approach would mean identifying as many variables as possible which can affect the implementation process. Moreover, it would also call for looking at the various sectors (agriculture, irrigation, electricity, co-operatives, animal husbandry, etc.). As at present there are only four divisions in the PEO and it has been suggested that the number of divisions be increased to nine. Rural development is to be one of the divisions. This expansion would help in looking at the total rural system as well as measuring to some extent at least, the realization of the objectives in rural development, viz. growth with social justice, removal of poverty, and full employment.

CASE STUDIES

Six case studies have been described. They indicate different types of programmes which have been undertaken for evaluation study.

The methodology used and the sampling designs are also given. From the conclusions which have been included, the criteria used in studying the accomplishments in each of these programmes can also be discerned.

CASE STUDY I

Employment Guarantee Scheme

Objectives

This evaluation is an example of quick survey. It was a joint evaluation conducted by the PEO and the Evaluation Division of the Directorate of Economics and Statistics of Maharashtra.

The Employment Guarantee Scheme aims at:

- (a) providing employment to all rural adults seeking manual, unskilled work; and
- (a) utilizing the manpower so available for the creation of durable productive assets.

The objectives of the study were determined so as to examine whether these aims of the scheme were being reached. More specifically, the objectives were stated as follows:

1. provide a description of the methods actually adopted in the field for the attainment of the prescribed scheme objectives;
2. assess how far the methods adopted are proving effective for the attainment of these objectives;
3. analyse the factors on which the effectiveness depends; and
4. suggest action, if any, at government, district or taluka level.

Methodology

The works taken up under the Guarantee Scheme were chosen on the basis of the stage in which they work namely: in progress, incomplete but not in progress and completed. From each of the selected works a number of workers were chosen and interviewed. Some workers, who had discontinued working in the scheme were also interviewed. Some villages in which no scheme was in operation were also chosen and some persons

in them were interviewed. There were a number of schedules developed - work schedule (to be filled by the implementing agency) work schedule cum questionnaire, village schedule, household schedules.

The approach in the study was mainly to gain firsthand experience of the field situation so that further studies could suitably be organized. Hence, the district in which detailed information was available was chosen. It also happened that this particular district had the highest expenditure. Information about workwise employment generation was obtained from:

- (1) The Revenue Office and
- (2) The different implementing Agencies

It was found that there was a lack of firm and complete information at the taluka level on the basis of the data available and observations of different types of works by the Evaluation Teams, the following conclusions were reached.

Conclusions

In 1974-75 the large part of the spill over scarcity works have either been taken up and brought to a "safe" stage or completed or finally abandoned.

The survey for new works are not proceeding on any significant scale. It is apparent that there is a need for a large enough set of schemes to be surveyed over a wider range. Such survey would provide the possibility of choice of alternative types of works, consideration of priorities to be given in the local situation etc. However, there seems to be no satisfactory arrangements so far at the disposal of the taluka or district level for ensuring that this work (survey) gets done.

There is a problem of manpower mobilization. The present method of mobilization is inadequate as it makes no distinction between various categories of people (people who can work only near the village, go to villages for away or who go outside the village for long periods and those who can do semi-skilled work). The response under the employment guarantee scheme tended to weaken as the wage earned by the persons was low. The judgment about the payment by the villages was in comparison to the payment made during scarcity works (at which time, the wage was higher).

CASE STUDY II

Evaluation Study of the High Yielding Varieties Programme

In 1967 the Programme Evaluation organization made an evaluation study of the high-yielding varieties programme. The main objective of the study was to analyse the progress and problems of the programme. More specifically, the objectives of the study were laid down as follows:-

- (1) To assess the spread of the various high yielding varieties in different parts of the country and also to determine the extent of such spread;
- (2) To ascertain the reactions and attitudes of cultivators participating in the programme and also examine the problems of non-participating cultivators; and
- (3) To study the problems of implementation of the programme at different levels of administration such as state, district, block and village.

Methodology

The field work was carried out in several rounds to ensure better reliability, depth in data to be collected. Particularly from the cultivators, from as many as 123 sample villages covering over 41 development blocks* and districts and all the four crops grown in the season namely; paddy, maize, bajra and jowar (millets).

At the state, district and block levels, all the official and non-official agencies concerned with the implementation of the programme were contacted for collection of data on the main aspects of the programme. The instruments of observation at these levels were:

* The block is an administrative unit with about 70000 to 100000 population for community development programmes.

- (a) guide-points for the collection of qualitative information and
- (b) schedules for collection of quantitative data such as area covered, quantity of seeds, fertilisers distributed, credit disbursed etc. The participating (865) and the non-participating (622) cultivators were interviewed through a detailed schedule-cum-questionnaire.

For selecting the districts, the blocks and villages, the probability proportional sample was used. Systematic stratified sampling was used to select the cultivators.

Some findings *

1. It was observed that practically no trial demonstrations were reported to have been conducted under actual farm conditions prior to 1966-67. The experience of the current season suggests that it may not be prudent to continue the programme merely on the basis of few tests and experiments conducted in the research station. There is sufficient justification to organize a systematic programme of trial-demonstration on a scientific basis at all levels in the long term interest of the programme.
2. There seems to be an urgent need to collect firm data regarding irrigated area source wise and also potential created by such sources from time to time so as to facilitate better planning of agricultural programmes.
3. There is need for intensifying research effort in evolving new strains by combining the characteristics of the exotic varieties such as better responsiveness to fertilisers, with greater resistance to particular types of pests/diseases, finer quality of the grain etc. of some of the existing improved varieties.
4. Detailed administrative instructions and technical guidelines were provided from the state headquarters to the district, block and village level regarding the care that was to be exercised in selecting suitable areas and willing cultivators to take up the programme. In many of the selected blocks such instructions remained more or less on paper and the lists were prepared rather hurriedly. This aspect deserves to be tackled much more seriously if planning and implementation at the effective levels were to have any meaning at all.

5. The achievements for the different crops varied. In paddy only 43% of the target area was covered, jowar 22% and maize 35% and bajra 50%. The criteria for fixing targets needs to be re-considered.
6. Field observations showed that supply bottlenecks in regard to seed persist in some of the observed areas resulting in delayed selection of both areas and cultivators.
7. The proportion of funds disbursed against the allotted amount were low. Procedural delays, the problem of defaulting members, poor recovery of co-operative loans leading to heavy over-dues, too many deductions were some of the causes.
8. About a fifth of the cultivators in the selected villages reported adoption of the high yielding paddy varieties during the season. So also jowar and maize. For bajra it was about one seventh. The proportion adopting increased with the size of the operational holdings of the cultivators and was as low as 14% among the cultivators having operational holdings of less than 2½ acres compared to 49% among the cultivators of the biggest holdings size of 50 acres and more for paddy varieties.
9. More than 75% of the current season participants desired to continue the high yielding paddy varieties. Among the selected non-participating cultivators more than half of them wanted to adopt the high yielding paddy varieties for the first time during the next season thereby indicating large adoption in the coming season.
10. The reason for non-adoption of the high-yielding varieties during this season were reported to be:
 - (a) Physical limitations such as lack of irrigation or drainage facilities.
 - (b) Higher cost of inputs and labour in the cultivation of these varieties.
 - (c) Non-availability of seeds.
 - (d) Greater risk because of varieties being more susceptible to pest/diseases.
 - (e) Lack of sufficient knowledge of all the practices.
11. Nearly half of the non-participating cultivators reported their willingness to adopt high yielding varieties during the next season. The programme was more or less well received by the farmer community and the adoption is expected to substantially increase, subject to physical limitations.

CASE STUDY III

Regional Variations in Social Development and Levels of Living

The broad objectives of the study was to analyse the improvements made in agriculture, education, health, roads, the levels of consumption, employment, the extent of agricultural practices, adopted utilization of irrigation potential, etc. during the planned period covering 10 to 12 years and to observe the variations between the regions within the state and between the different sections of population.

The study was organized in three parts. The first part analyses the available administrative statistics (agriculture, education, health and roads). The second source of information was the data collected by the National Sample Survey and the Reserve Bank of India. The third part consists of fresh surveys on:

1. Adoption of improved agricultural practices.
2. Utilization of irrigation facilities.
3. Soil Conservation.
4. Education, drinking water and other facilities in the villages.

The report was a departure from the usual evaluation reports prepared by the PEO. The study did not refer to any specific programme of development. The collection and tabulation of data and analysis and writing the report were undertaken by the Bureau of Works and Statistics of the States under the guidance of the PEO. The PEO prepared the all-India consolidated report.

Some Conclusions^{*}

1. Consumption

(a) Rural households with expenditure not exceeding Rs. 100

per month constitute about 3 in 10 in Andhra Pradesh, 2 in

3 in Orissa and Madhya Pradesh, 1 in 2 in Madras, Maharashtra,

Uttar Pradesh and West Bengal, over 40% of the urban households

in Uttar Pradesh and Orissa also live below this line.

(b) There has not been much improvement in the level of per capita expenditure over the 12 years ending 1963 even in current prices.

While the consumer prices have increased substantially.

(c) The share of food in the total expenditure is about 70% in the rural areas and nearly 60% in the urban areas; this percentage is the highest in the rural areas of Andhra Pradesh, Assam, Gujarat, Madras and Maharashtra and the lowest in rural areas of Punjab, Kerala and Mysore.

(d) Inter-regional variations in per capita expenditure of the rural households seem to be considerable in Rajasthan, Uttar Pradesh, West Bengal and Orissa.

2. Land Holdings

(a) The average size of land holdings has diminished considerably over the last few years. A large part of the land owners have less than 2.5 acres each in most states.

* A few conclusions, only in some of the areas covered have been given, for illustrative purposes.

- (b) Generally speaking, states with better irrigation facilities have small size holdings and vice-versa.
- (c) The major part of the irrigated area is operated in large size holdings; in other words larger holdings make use of major part of the irrigation potential.

3. Adoption of Improved Agricultural Practices

The overall picture that emerges out of survey of the adoption of agricultural practices is that except a few states, in most of the other states, the spread of the area under different items of improved practices had not been very significant. Further, in a situation before the introduction of "package programme", there was no conscious programme of the adoption of the related practices in combination of two or three important items. The benefits accrued out of the adoption of improved practices in isolation were not commensurate. There was no conscious planning of the spread of the areas with improved seeds in different parts of the same state.

The result of the survey of adoption of improved practices have, therefore, important policy conclusions.

CASE STUDY IV

Evaluation Study of Rural Industries Projects

The Rural Industries Projects were started in 1962 with a view to evolve effective techniques, methods and programmes for promoting intensive development of village and small scale industries in selected areas with large scale incidence of unemployment and under employment. The techniques and methods will be evolved to suit the needs of the village economy. The strategy to develop a particular area was to be around an Industrial Potentialities Survey. There are at present 106 projects operated as centrally sponsored schemes out of which 45 have completed a decade of working. The expenditure on them during 76-77 was about Rs.4.5 million. They were administered by the Planning Commission up to 1967 and later by the Ministry of Industrial Development.

The progress of the RIPs was reviewed in 1965 by an Evaluation Study Team of the Rural Industries Planning Committee and in 1966 by PEO by way of case studies of selected projects. In 1970 it was again reviewed and a decision was taken to continue all the 49 projects. They would cover schemes of training and common facilities (except credit). The projects were extended to the whole districts (excluding towns with population of 15000 and above). It was also decided that 57 more new projects be started in selected industrially backward districts during the Fifth Plan period. The evaluation study was again taken up in 1974 and completed in 1976. Most of the conclusions were given effect to and the strategy of the programme was reconsidered in the light of the findings.

The objectives of evaluation was to study :-

- (a) how the programme has been planned and administered;
- (b) how far the various components of the programme have been adequate and effective vis-a-vis the broad objectives;
- (c) how the various components of the programme have benefited the local people.

Methodology for the study

A total of 26 projects covering all the states were selected out of the 49 projects initially started. Seven of them were selected for PEO's case study in 1966. All the four projects set up near the big industrial complexes (Durgapur, Bhilai, Ranchi and Bhadravati) were also included. The rest were from remaining areas and were selected keeping in view the volume of expenditure and their performance.

The first stage of sampling involved the selection of villages/towns having industrial units. All the industrial units were covered under either one of the eight major industrial categories namely (1) Agricultural Processing and Allied Activities (2) Industrial based on Forest Produce (3) those based on animal husbandry produce (4) Building material, ceramics and allied industries (5) Textiles (6) Chemical Industries (7) Engineering and Allied Industries and (8) Miscellaneous industries.

After arranging the villages/towns in decending order by number of industrial units, they were divided into four strata. The first stratum consisted of villages/towns having approximately 25% of the industrial units, the second, third and fourth also another 25% each. For each stratum two towns/villages were selected at random with probability proportional to the number of industrial units in them and without replacement.

In the second stage sampling 30 industrial units and 10 artisans were selected from each stratum of the selected villages/ towns. The sample size of 30 units was distributed among eight industrial categories in proportion to the total number of units under the particular industrial head and a random sample of the appropriate number of the industrial units was drawn from each of the industrial units.

The third stage of sampling was selection of workers from the selected industrial units. Two works from each unit, one having the longest experience, and the other a recent entrant were selected.

Conclusions of the Study

1. The Industrial Potential Surveys conducted by the project staff used a generalised proforma which did not permit a satisfactory appreciation of the local economy or of its potentialities. The units which actually came up bore no relation to the so called 'potential' as brought out by the surveys.
2. There was inadequate commitment of the state Governments to the programme. It is evident from (a) the frequent changes in project officers and technical personnel, (b) lack of the required direction from higher levels due to inadequate appreciation of the real object of the programme, i.e. developing methodology for generating patterns of rural industrialisation, (c) lack of integration of this programme with the activities of other agencies in the field of small and village industries; (d) inadequate and inaccurate monitoring/feedback systems between the field and the policy-making/funding levels of administration.

3. Several components of the RIP strategy registered only a marginal impact. Only 6% of the units in the project areas have reported any operational contact with project authorities for technical assistance either by way of training, provision of raw materials, marketing support etc. A large part of promotional expenditure proved unproductive. The only element which created an impact was the loaning programme. 19% of the total units benefited from the programme and the rest got loan either from banks or from financial institutions. This suggests that the RIP had virtually acquired the role of another but less important and effective lending agency.
4. Promotional and establishment costs per job varied between Rs.3000 to Rs.10000 and above in the projects surveyed.
5. A significant part of the funds were distributed in towns with population of 15000 and more which are explicitly stated as being outside the projects.
6. A negligible portion of financial assistance went to rural artisans.

CASE STUDY V

Evaluation of Antyodaya in Rajasthan

The Antyodaya programme was launched by the Government of Rajasthan in 1977 after conducting a pilot study in five selected villages in the each of the districts of Jaipur, Jhunjhunu, Chittorgarh, Kota and Jodhpur. The objective is upliftment of the 'poorest of the poor' families by providing them means of livelihood through various programmes of self employment like provision of land, milch cattle, sheep and goat, poultry, village and cottage industries etc. It also envisages wage employment in the public works programmes of the state and provision of old age pensions. The programme adopts a micro-approach with family as the unit of development. The expected expenditure during 78-79 was Rs.30 million involving around 0.16 million families. The families are selected on the basis of defined criteria.

The PEO was asked to make current evaluation of the Programme in 1978 with a view to assess its working. The study was taken up at two levels, viz., (i) the district and (ii) the village level. At the district level the following aspects were covered:

- (i) criteria for selection of beneficiaries, method adopted for identification;
- (ii) type of assistance provided, scope of specific programmes under which the beneficiaries were covered;
- (iii) advance and preferatory action taken for providing technical assistance and know-how to the beneficiaries; and
- (iv) steps taken for efficient implementation of the programme, e.g. extensions management, production, marketing etc.

At the beneficiary level i.e. at the village level, the areas studied were:

- (i) Process of selection of the beneficiaries as envisaged and actually followed;
- (ii) time lag between the selection of the family, delivery of the benefit item and the flow of benefit;
- (iii) contents of programme facilities actually provided;
- (iv) experience of the beneficiaries about the benefits accrued with particular reference to employment and income; and
- (v) attitude and reaction of fellow villagers towards assistance given.

Methodology of the Study

The study was confined to the same five selected districts which were selected by the State Government for pilot study before launching its programme. The same five villages that were selected from each of the five districts were taken up, out of these five villages - one village was selected for an indepth study where the maximum number of schemes were provided for the Antyodaya families. All the five families identified in the selected villages were canvassed. For the district level investigations, suggestive guide points were devised for observations and discussions with the Antyodaya programme. Similar points were spelled out for village level observations and discussions with the village officials and other knowledgeable persons.

Conclusions

1. By and large identification of Antyodaya families was fair in the selected districts because the village level workers, patwaris, school teachers and members of village panchayats who were well conversant with the economic conditions of almost all the families in the village were fully involved in the identification and

selection of poorest of the poor. However, a few cases of doubtful selection came to notice in selected districts of Jaipur, Jodhpur and Jhunjhunu, criteria of selecting five families from each village irrespective of size of population had resulted in somewhat disproportionate representation in the smaller villages.

2. In one district, a majority of the sample families were allotted double benefits. The general complaint of beneficiaries who were allotted land was that the land distributed was inferior and involved huge investments and no action was taken to get them loan facilities without much time lag. The inadequate cooperation from the banks and Khadi Board in advancing adequate institutional credit in time, and to draw up plans of generating self-employment resulted in the slow tempo of programme. In one district, due to sudden spurt-in the loaning programme, the price of cattle had gone up. The delays caused by procedural difficulties in the banks in the disbursement of loan caused hardship to the beneficiary as the sellers do not generally wait for long time to close the deals.
3. None of the five selected districts had reported any special arrangement for providing technical know-how in management, production and marketing to the Antyodaya beneficiaries. They were left to struggle on their own.
4. The financing of the programme to the extent of Government subsidy was being done out of the allocations made for various sector/area programmes like SFDA, DPAP etc. In a way it amounts to extension of the sector development schemes to individual families of landless and casual labourers who have no security to offer.

5. The constant involvement of the revenue staff in the programme had effected their efficiency and speed in discharging their normal departmental duties.

CASE STUDY VI

Report on Evaluation Study on
Small Farmers, Marginal Farmers
and Agricultural Labourers Projects
(1974-75)

The scheme of Small Farmers Development Agency (SFDA) and the Marginal Farmers' and Agricultural Labourers (MFAL) were started as pilot projects in 1970-71 and were included in the centrally sponsored schemes in the Fourth Plan (1974-78). The basic objective of the schemes is to bring small and marginal farmers and agricultural labourers into the main stream of economic development. The SFDA scheme was to make potentially viable small farmers surplus producers through systematic and timely delivery of services and supplies to the selected farmers. The emphasis of MFAL is on the generation of full employment to identified and selected families through the promotion of rural industries and provision of facilities for production, processing, storage and marketing of products.

SFDA and MFAL agencies were not to administer any economic programme directly but sponsor and aid institutions which will undertake such schemes. Organising and strengthening cooperatives and other agencies like poultry and cattle feed mixing units etc., which provide common services essential to the target groups are the main focus of the Agencies.

The evaluation study was taken up in 1974 at the instance of the Ministry of agriculture. The objectives of the study were to study:

1. the nature and contents of the programmes for Small Farmers, Marginal Farmers and Agricultural Labourers;
2. the organisational and operational aspects of the implementation of the programmes; and
3. the impact of these programmes on small farmers, marginal farmers and agricultural labourers in terms of increasing their incomes and employment opportunities.

Methodology

A multi-stage sampling design was adopted. The project areas were selected in consultation with the administering Ministry on the basis of their performance in terms of progress in identification of farmers, their enrolment as members of cooperatives, amount of expenditure, loans advanced, number of persons to whom benefits were actually extended etc. Out of the existing 46, 21 SFDA's and 15 MFALs out of the 41 were selected. They are spread over 17 states.

The second stage of sampling constituted selection of villages which had benefited by any of the schemes of the selected Agencies. The schemes of Agencies were put in three categories, viz., (1) agriculture (2) minor irrigation and (3) subsidiary occupations. Villages were then listed in the alphabetical order of their names into seven lists:

(a) List I - those villages where all the three groups of schemes operated.
(b) Lists II, III and IV where combination of any two groups of the schemes operated and (c) Lists V, VI and VII where any of the three groups of schemes operated. From List-I two villages were selected at random. From each of the remaining lists one village each was selected at random. A total of eight villages were selected from each project Area.

In each selected village, persons benefited by any of the schemes (beneficiaries) or not benefited at all (non-beneficiaries) formed the ultimate stage of sampling. Households availing the project loan were stratified in each village according to the number of schemes for which loans were availed by them. Sample size of twelve beneficiaries were allocated for each stratum. The non-beneficiary sample was selected at random from the list of identified target group in four villages who were not participating in any scheme. Cooperative societies one each from these villages were also selected for the study.

Conclusions

1. Selection of Project Areas

The population size of the project areas varied between those with 41 thousand to 131 thousand among SFDAs and from 33 thousand to 370 thousand among MFALs, amounting to inequitable allocation of resources between target groups in different areas. The variation is also in terms of geographical coverage which ranged from 740 sq. kms. to 17,400 sq. kms. per project.

2. Identification of target groups

- (a) The identification of the target group was slow due to inadequate understanding of the exact extent of the work to be done and apathy of the project staff.
- (b) Lack of precision in the definition of target groups for e.g. 'family unit' and 'agricultural labourers', led to faulty identification and inclusion of those who are not intended to be benefited by the scheme. Absence of up-to-date land records also contributed.
- (c) In three project areas agricultural labourers were not at all identified whereas in one fifth of the areas not more than 5% of total agricultural labourers in the area had been identified.

3. Administrative set-up of agencies

- (a) Governing bodies of SFDAs and MFALs have not been able to provide guidance and support in the formulation and implementation of the programmes.
- (b) Only in 29% of the projects continuity of key persons like project officer was maintained. In nearly 40% of the projects, there were frequent transfers of officers, sometimes even without providing substitutes.
- (c) Coordination and Review Committees at the State level were too big had infrequent meetings and provided little guidance or support to Agencies. State level cells in charge of coordination of various departments' activities have not been able to do so. In effect the States have generally not been able to monitor the progress of the programme.

4. Credit facilities

- (a) The Cooperative infrastructure in the project areas is very weak. In 57% of SFDA and 38% of MFALs more than 50% of the identified persons had been brought within the cooperative fold. But this is not solely due to the efforts of the Agencies.
- (b) Assistance provided by Agencies to cooperatives for generating credit produced good result only in one third of project areas. The ratio of project expenditure on such assistance to loans generated was nearly 1:14. Poor performance in generating loans was due to inadequate development of cooperative structure, procedural difficulties etc. The Commercial Banks share in loans was only 10%. The share of Agricultural labourers in the total loans advanced till 1973-74 was only about one percent.

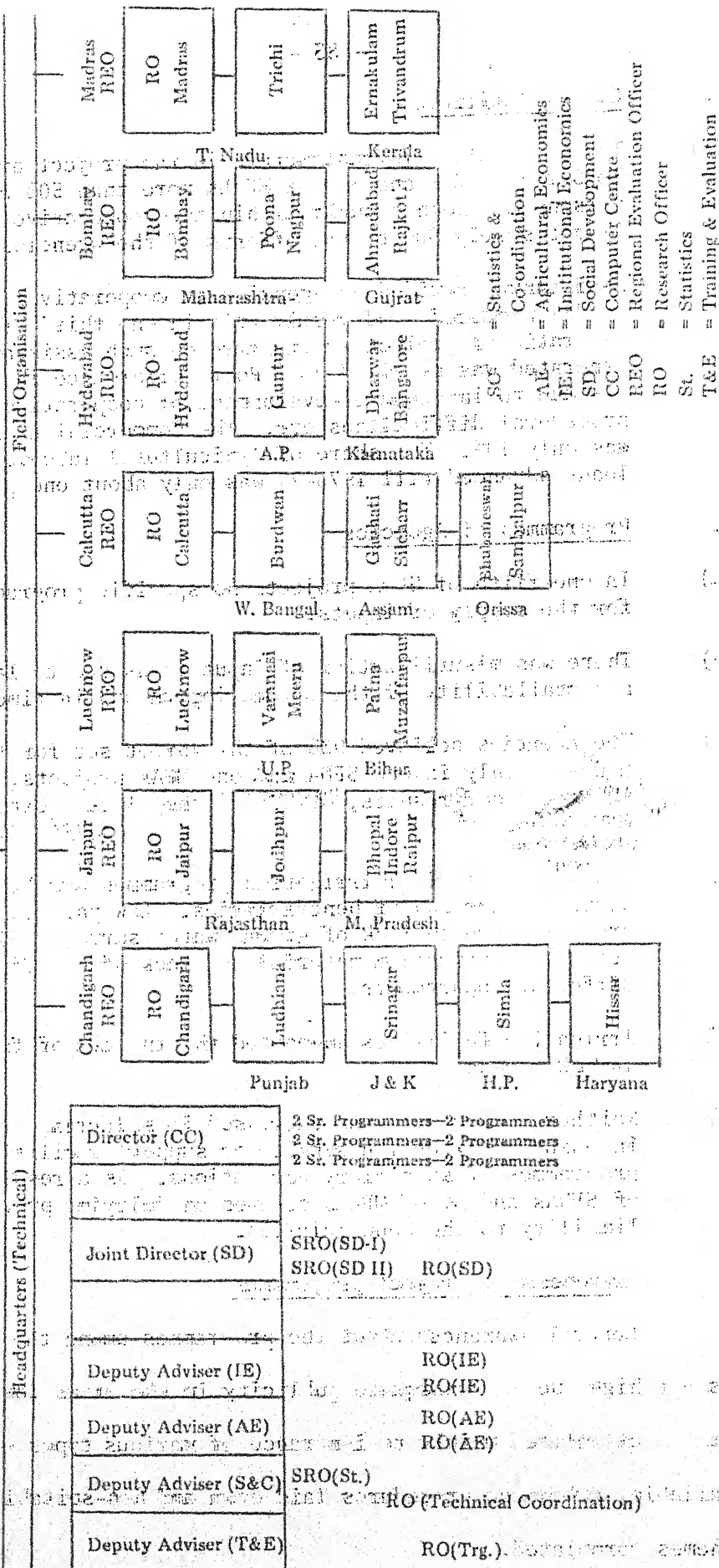
5. Programmes of Agencies

- (a) In one-fifth of SFDA projects no specific programmes were drawn for the supply of inputs.
- (b) There was misutilization of input loans due to lack of follow-up, non availability of the needed inputs and in time.
- (c) The Agencies achieved 93% of the target set for laying demonstrations. However, only in one SFDA and one MFAL projects, demonstrations were reported good results, otherwise they lacked extension support and follow-up.
- (d) The spread of minor irrigation programmes was better in SFDA and accounted for 20% of beneficiaries. Low participation in some areas was due to lack of ground water surveys, difficulties in getting construction material and lack of coordination between different departments.
- (e) Irrigation facilities augmented the incomes of farmers, especially in SFDA areas.
- (f) Neither proper care was exercised in selecting beneficiaries nor in ensuring extension service or support-facilities in respect of programmes of subsidiary occupations. As a result in nearly 15% of SFDA and 8% of MFALs schemes of dairying proved to be a liability to the beneficiaries.

6. Awareness of project programmes

General awareness about the programmes among the target groups was not high due to inadequate publicity in the areas low participation rate is attributed mainly to ignorance of various types of facilities available, cumbersome procedures laid down and non-suitability of the schemes formulated.

APPENDIX I
Organisational Chart of the
Programme Evaluation Organisation
(Planning Commission)
JOINT SECRETARY



Statistics & Co-ordination
= Agricultural Economics
= Institutional Economics
= Social Development
= Computer Centre
= Regional Evaluation Officer
= Research Officer
= Statistics
= Training & Evaluation
= T&E

APPENDIX II

EVALUATION SET-UP IN THE STATES

Sl. No.	Name of the State	Name of the Evaluation Organisation	Department to which attached	Main Functions	Year in which set-up	Number of publications
1	2	3	4	5	6	7
1.	Andhra Pradesh	Evaluation Wing	Finance and Planning Department (Planning Wing)	Evaluation	1961	55
2.	Assam	Directorate of Evaluation and Monitoring	Planning and Development Department	Evaluation and Monitoring	1965	55
3.	Bihar	Directorate of Statistics and Evaluation	Planning Department	Evaluation	1964	9
4.	Gujarat	Directorate of Evaluation	Planning Department	Evaluation and Project Appraisal	1965	85
5.	Karyana	Evaluation Unit	Economics and Statistics Organisation	Evaluation	1964	49
6.	Himachal Pradesh	Evaluation Cell	Planning Department	Evaluation and Project Appraisal	1972	Nil
7.	Jammu and Kashmir	Directorate of Evaluation and Statistics	Directorate of Statistics	Evaluation	1965	15
8.	Karnataka	Directorate of Evaluation	Planning Department	Evaluation	1964	57

1	2	3	4	5	6	7
9.	Kerala	Evaluation Division	Planning Department	Evaluation and Plan Formulation	1969	28
10.	Madhya Pradesh	Evaluation and Plan Progress Unit	Directorate of Economics and Statistics	Evaluation	1964	12
11.	Maharashtra	Evaluation, Monitoring and Information Unit	Directorate of Economics and Statistics	Evaluation and Monitoring	1959	38
12.	Manipur	Evaluation Unit	Department of Statistics	Evaluation	1967	2
13.	Meghalaya	Evaluation Cell	Directorate of Economics and Statistics	Evaluation	1971	6
14.	Nagaland	Evaluation Unit	Planning and Coordination Department	Evaluation	1968	4
15.	Orissa	Evaluation Organisation	Planning and Coordination Department	Evaluation	1961	31
16.	Punjab	Evaluation Unit	Economics and Statistics Division	Evaluation	1964	35
17.	Rajasthan	Evaluation Organisation	Planning Department	Evaluation	1960	46

- 3 -

1	2	3	4	5	6	7
18.	Tamil Nadu	Evaluation and Applied Research Department	Finance Department	Evaluation Project Appraisal	1971	31
19.	Tripura	Evaluation Unit	Directorate of Statistics and Evaluation	Evaluation	1966	21
20.	Uttar Pradesh	Evaluation and Training Division	Planning Department	Evaluation and Training	1965	103
21.	West Bengal	Directorate of Evaluation and Monitoring	Development and Planning Department	Evaluation	1966	25
22.	Delhi	Evaluation Cell	Planning Department	Evaluation & Monitoring	1966	20
23.	Goa, Daman & Diu	Evaluation Cell	Bureau of Statistics, Economics & Evaluation	Evaluation	1971	22
24.	Pondicherry	Evaluation Cell	Planning and Research Department	Evaluation	1976	21

APPENDIX III A

Personnel engaged in the State Evaluation
Organisations by category

State/U.T.	Personnel engaged by category			
	Senior level	Supervisory level	Junior level	Total
1	2	3	4	5
<u>State</u>				
1. Andhra Pradesh	1	1	2	4
2. Assam	1	10	18	29
3. Bihar	1	13	58	72
4. Gujarat	1	6	43	50
5. Haryana	1	6	19	26
6. Himachal Pradesh	-	1	4	5
7. Jammu & Kashmir	1	8	8	17
8. Karnataka	1	11	18	30
9. Kerala	1	11	21	33
10. Madhya Pradesh	-	2	23	25
11. Maharashtra	1	10	43	54
12. Manipur	-	1	11	12
13. Meghalaya	-	3	3	6
14. Nagaland	-	3	7	10
15. Orissa	1	9	22	32
16. Punjab	1	3	13	17
17. Rajasthan	1	25	79	105
18. Tamil Nadu	1	12	19	32
19. Tripura	-	2	17	19
20. Uttar Pradesh	1	9	35	45
21. West Bengal	1	11	28	40
<u>Union Territory</u>				
22. Delhi	-	1	8	9
23. Goa, Daman & Diu	-	1	12	13
24. Pondicherry	-	1	3	4
Total	15	160	514	689

Senior level

Director/Additional Director/Joint Director/
Project Director, etc.

Supervisory level

Deputy Director/Senior Research Officer/ Assistant
Director/Research Officer, etc.

Junior level

Investigator/Technical Assistant/Research Assistant/
Statistical Assistant/Computer/Field Assistant/
Junior Statistical Supervisor/Analyst, etc.

APPENDIX III B

Personnel engaged in the Central PEO
and State Evaluation Organizations

Personnel engaged by category				
Central PEO States & U.Ts.	Senior Level	Super- visory Level	Junior Level	T O T A L
1	2	3	4	5
Central PEO	8	51	120	179
States/ Uts	15	160	514	689
Total	23	211	634	868

APPENDIX IV

Financial allocation and expenditure of State
Evaluation Organisations under Plan and Non-plan
budget for the years 1977-78 and 1978-79

State/U.T.	(in lakhs)					
	Plan			Non-plan		
	1977-78 Allot- ment	Expen- diture	1978-79 Allotment	1977-78 Allot- ment	Expen- diture	1978-79 Allot- ment
1	2	3	4	5	6	7
1. Assam	2.00	1.50	2.00	4.00	3.05	3.40
2. Bihar	4.00	3.05	4.00	7.55	3.08	4.67
3. Gujarat	0.81	0.81	0.95	5.09	5.09	5.59
4. Haryana	-	-	-	4.07	3.09	4.25
5. Himachal Pradesh	1.63	0.65	1.26	-	-	-
6. Jammu & Kashmir	-	-	-	1.44	1.50	1.55
7. Karnataka	2.23	1.58	2.00	2.71	1.49	2.58
8. Kerala	1.70	1.34	2.00	0.89	0.89	1.00
9. Madhya Pradesh	3.00	-	2.50	-	-	-
10. Maharashtra	-	-	-	3.80	3.00	4.34
11. Manipur	-	-	-	0.46	0.46	0.48
12. Meghalaya	0.45	0.06	0.87	0.78	0.90	0.95
13. Nagaland	0.55	0.39	0.74	1.05	0.99	1.64
14. Orissa	-	-	-	4.24	3.54	4.36
15. Punjab	-	-	-	2.40	2.40	2.40
16. Rajasthan	7.34	6.88	7.67	4.65	4.21	4.61
17. Tamil Nadu	0.98	0.69	0.92	4.88	4.85	5.41
18. Tripura	0.51	0.48	0.75	1.63	1.53	1.76
19. Uttar Pradesh	2.40	0.73	8.00	8.57	7.77	9.00
20. West Bengal	1.00	0.57	1.15	5.90	6.45	6.34
21. Goa, Daman & Diu	0.41	0.45	0.50	0.42	0.42	0.55
22. Pondicherry	0.10	0.01	0.10	0.46	0.45	0.49
			35.41			65.86

Note: For Andhra Pradesh and Delhi, budget figures are included in Planning Dept., separate budget figures for evaluation are not available.

APPENDIX V A

PROGRAMME EVALUATION ORGANISATION

(Planning Commission)

LIST OF P.E.O REPORTS

- *1. Group Dynamics in a North Indian Village (1954).
- *2. Evaluation Report on First Years' Working of Community Projects (May, 1954).
- *3. Community Projects - First Reactions (August, 1954).
- *4. Training of Village Leaders in Bhopal (September, 1954).
5. Cotton Extension in P.E.P.S.U. - A case study (1955).
- *6. Evaluation Report on Second Years' Working of Community Projects (Vols. I & II). (April, 1955).
- *7. Evaluation Report on Second Years' Working of Community Projects (Summary) (April, 1955).
- *8. Training of Village Artisans in Bihar (May, 1955).
9. Leadership and Groups in a South Indian Village (June, 1955).
- *10. Evaluation Report on Working of Community Projects and N.E.S. Blocks (April, 1956).
- *11. Evaluation Report on Working of Community Projects and N.E.S. Blocks (April, 1956). Summary.
- *12. Bench Mark Survey Report - Patiyala (Punjab) (February, 1956).
- *13. Bench Mark Survey Report - Bhadrak (Orissa) (1956).
- *14. Three Years of Community Projects (August, 1956).
15. Study of Village Artisans (August, 1956).
- *16. Bench Mark Survey Report - Kollapur (Bombay) (July, 1956)
17. Bench Mark Survey Report - Morsi (Madhya Pradesh) (November, 1956).
- *18. Study in Cooperative Farming (December, 1957).

* Out of stock.

- *19. Fourth Evaluation Report on Working of Community Projects and N.E.S. Blocks - Vols. I: (includes studies on 1. Achievements and Problems of the Community Development Programme, 2. Some aspects of the Community Development Programme) (April, 1957).
- *20. Fourth Evaluation Report on Working of Community Projects and N.E.S. Blocks - Vol. II: includes studies on 1. Some Aspects of Social Change, 2. Enquiry into coverage by Projects Programme (May, 1957).
21. Bench Mark Survey Reports - Malavalli (Mysore) and Chalakudy (Kerala) (July, 1957).
22. Bench Mark Survey Report - Baniwada, (Andhra), Smalkot (Andhra) and Eroda (Madras) Blocks (July, 1957).
- *23. Bench Mark Survey Reports - Pusa (Bihar), Mohd. Bazar (West Bengal) and Arumachal (Assam) Blocks (July, 1957).
- *24. Bench Mark Survey Reports - Pounta, (Himachal Pradesh), Bhadson (Punjab) and Bhathat (UP) Blocks (July, 1957).
- *25. Bench Mark Survey Reports - Manaradar (Bombay), Nowgong (Madhya Pradesh) and Rajpur (Madhya Pradesh) Block. (October, 1957).
26. Fifth Evaluation Report on Working of Community Development and N.E.S. Blocks: Includes Studies on 1. Current Evaluation Study, 2. Acceptance of Practices, 3. Study of Panchayats, 4. Block Records (May, 1958).
27. Fifth Evaluation Report on Working of Community Development and N.E.S. Blocks - Summary and Conclusions (May, 1958).
28. A study of Panchayats (May, 1958).
29. Evaluation Report on the Working of the Welfare Extension Projects of the Central Social Welfare Board (April, 1959).
30. Evaluation Report on the Working of the Large and Small size Cooperative Societies (April, 1959).
31. The Sixth Evaluation Report on Working of Community Development and N.E.S. Blocks: includes studies on 1. Planning Process, 2. Cottage Industries, 3. Social Education, 4. Study of Cooperative Large and Small (June, 1959).
32. The Seventh Evaluation Report on C.D. & Some Allied Fields (1960), including studies on, 1. Current Evaluation Study of 18 selected blocks, 2. Evaluation of the 1958-59 Rabi Crop Campaign in selected areas in Punjab, Rajasthan and Uttar Pradesh, 3. Case Studies Panchayats and Cooperatives, 4. Some Aspects of Rural Unemployment (1960).
33. Evaluation of 1958-59 Rabi Crop Campaign in Punjab, Rajasthan and Uttar Pradesh (1960).

34. Some Successful Panchayats - Case Studies (1960).
35. Some Successful Cooperatives - Case Studies (1960).
36. A Study of the Lok Karya Kashetras of the Bharat Sevak Samaj (1960).
37. Summary of Evaluation Studies (1960-61). (1961).
38. Evaluation of the Gram Sabayak Programme (1961).
39. Study of the Multiplication and Distribution Programme for Improved Seed (1961).
40. Study of the Problems of Minor Irrigation (1961).
41. Soil Conservation Programme for Agricultural Land (1962).
42. Case Studies of the Role of Bullock Carts and Trucks in Rural Transport (1963).
43. Problems of extension of Primary Education in Rural areas, 1965.
44. Current Evaluation of the Applied Nutrition Programme, 1965 (1964-65).
45. Report of Evaluation of the Rural Electrification Programme, 1965.
46. Problems of Coordination in Agricultural Programme, 1965.
47. Re-survey of 18 C.D. Blocks - Notes & Tables (Cyclostyled), 1965.
48. Interim Report on Evaluation on Consumer Cooperative (Cyclostyled) 1965.
49. Study of Utilization of Cooperative Loans, 1965.
50. Evaluation of Major Irrigation Projects - Some Case studies, 1965.
51. B.M.S. of 54 C.D. Blocks - Notes & Tables (Cyclostyled), 1966.
52. Regional Variations in Social Development and Levels of Living - A study of the Impact of Plan Programme, Vol. 1, 1967.
53. Report on Evaluation of Consumer Cooperative, 1967.
54. Evaluation of the Working of Lok Karya Kuberass, 1967.
55. Study of Handloom Development Programme, 1967.
56. Study on the use of Fertilizers and Manures in Agricultural Production, 1968.

57. Case Studies of selected Youth Clubs, 1967.
58. Report on Evaluation on Rural Manpower Project, 1967.
59. Regional Variations in Social Development and Levels of Living - A Study of the Impact of Plan Programme, Vol. II, 1968.
60. Study of the Extension of P.P. Measures in Agricultural Production, 1968.
61. Study of Resettlement Programme for Landless Agricultural Labourers, 1968
62. Evaluation Study of the High Yielding Varieties Programme - Report for the Kharif - 1967, 1968.
63. Report on Evaluation of Rural Industries Projects, 1968.
64. Study of Training for Junior Cooperative Personnel and Member Education (Part I & II), 1968.
65. Evaluation Study of th High Yielding Varieties Programme Rabi, 1968.
66. Study of the Development Staff at the District and Lower Levels, 1968.
67. Evaluation Study of the High Yielding Varieties Programme Report for Kharif - 1968, 1969.
68. Evaluation Study of the High Yielding Varieties Programme Report for Rabi - 1968-69, 1969.
69. Report on Evaluation of Consolidation of Holdings Programme, 1969.
70. Evaluation Study of Post-Stage II C.D. Blocks.
71. Family Planning Programme in India. - An evaluation.
72. Mechanisation of Fishing Boats.
73. High Yielding Varieties Programme in India, 1970-71 Joint Study by PEO and Australian National University (Phase II).
74. Evaluation of Employment Guarantee Scheme of Maharashtra - Joint Study by PEO and Government of Maharashtra, 1977.

Cyclostyled for Limited Circulation

- *75. Case Studies of Pilot Projects (series I) for the utilisation of Rural Manpower (Cyclostyled).
- *76. Evaluation Reports on Rural Manpower Projects (Cyclostyled), 1963.
- *77. Evaluation of the Family Planning Programme (Cyclostyled), 1965.

Out of stock.

- *78. Report on the Intensive Agricultural Production Programme of Kharif, 1966 (1967).
- 79. Report on Rabi Food Production Drive (R.F.P.D.) 1965-66 (1966).
- 80. Survey of Villages in Tribal Development Blocks, 1966.
- 81. Evaluation of PL-480 Wheat Assisted Rural Manpower Programme in selected Districts of UP & West Bengal (Cyclostyled), 1968.
- 82. Field reporting on Community Listening Scheme.
- 83. Documentation Bulletin Nos. 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12 & 13.
- 84. Field reporting on the village and Small Industries.
- 85. Field reporting on the Social Welfare Schemes.
- 86. Field reporting on the working of schemes relating to Small Farmers in Famine affected districts of Western Rajasthan.
- 87. Family Planning Programme - An Evaluation (Maharashtra).
- 88. Family Planning Programme - An Evaluation (Punjab).
- 89. Village Sanitation Scheme of Gandhi Smarak Nidhi in Maharashtra.
- 90. Evaluation study of Intensive Cattle Development Projects.
- 91. State of Preparedness of the ICDS Projects (Vol. I).
- 92. State of Preparedness of the ICDS Projects (Vol. II).
- To be Finalised
- 93. Study of Rural Industries Projects (1976 - Finalised only).
- 94. Evaluation of the Special Schemes for Girls Education.
- 95. Study of the Role of Voluntary Agencies in the Implementation of Social Welfare Programmes.
- 96. Study of the Post-Matric Scholarship Schemes for Scheduled Castes and Scheduled Tribes.
- 97. Study of Tubewell Irrigation and Groundwater.
- 98. Study of Centrally sponsored package scheme for Cotton.
- 99. Study of Centrally sponsored package scheme for Jute.
- 100. Study of the Financing of Capital and Current Inputs by Farmers adopting High Yielding Varieties Programmes.

101. Study of National Demonstration and Farmers's Education Programme.
102. Study of Urban Milk Supply Scheme.
103. Study of SFDA/MFAE Projects.
104. Study of SITE Programme.
105. Study of the Special Employment Programmes.
106. Pilot Study on Oil Seeds Development Programme.
107. Study of Rural Electrification Programme.

APPENDIX V B

Theme-wise distribution of reports/studies
completed by the State/UT evaluation
organisations (as on 31.8.1978)

Theme	No. of reports/ studies completed	% to total reports
1. Agriculture and allied schemes	337	37.2
2. Irrigation	77	8.5
3. Area Development Programme	68	7.5
4. Rural Institutions	83	9.2
5. Industry (Village & Small)	67	7.4
6. Power (Rural Electrification)	15	1.6
7. Transport	10	1.1
8. Employment, Manpower and Labour	31	3.4
9. Education	81	8.9
10. Health and Family Welfare	43	4.7
11. Social Welfare	95	10.5
Total	907	100.00

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APPENDIX VI

SAMPLING DESIGN

Selection of works and Beneficiaries/Non-beneficiaries

All the works taken up in the Block under Employment Guarantee Scheme were grouped as follows:

Group I:

- (i) Percolation Tanks
- (ii) Village Tanks
- ~~(iii) Storage Tanks~~

Group II:

- (i) Minor Irrigation Tanks
- (ii) Bandharas

Group III:

- (i) Canal excavation

Group IV :

- (i) Contour bunding
- (ii) Nalla bunding

The works in each group were further classified according to three stages, viz. (a) In progress (b) Incomplete but not in progress and (c) completed.

2. From each of the groups one work in progress with largest number of mandays of employment in October, 1975 in that group was selected.

3. One incomplete and one complete work was selected from each group on the basis of highest expenditure up to 31.10.75.

4. In the case of each selected work in progress a list of the workers on the day of visit was prepared. Listing of more than one member from the same household was, however, avoided. The list was divided into workers belonging to work site village and other villages. From the former 4 workers and 6 workers from the latter were selected at random. Further, a list of workers who had discontinued the work was obtained for each work, from whom 2 were selected at random.

5. Two selected works indicated in para 4 above were completed only recently. Hence cultivating households expected to be benefitted by these works were listed. For each work, 5 households were selected by circular systematic sampling on the basis of expected area to be benefitted.

6. Two villages without any Employment Guarantee Scheme work taken so far were selected purposively from two corners of the balock. All the households in each village were enumerated. From each village, 5 households benefitted by Employment Guarantee Scheme employment and 3 non-beneficiary households having member(s) registered under Employment Guarantee Scheme and 2 non-beneficiary households having member(s) not registered were selected by circular systematic sampling. The households reporting no need of Employment Guarantee Scheme employment were, however, excluded from the selection frame.

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